FEDERAL BUREAU OF INVESTIGATION
FOI/PA
DELETED PAGE INFORMATION SHEET
FOI/PA# 1340797-000

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Standard Form 86
Revised December 1990
U.S.Office of Personnel Management
FPM Chapter 732

QUESTIONNAIRE FOR SENSITIVE POSITIONS (For National Security)

Form approved:
O.M.B. No. 3206-0007
NSN 7540-00-634-4036
86-110

Part 1

OPM USE ONLY — Codes — Case Number

Agency Use Only (Complete items A through P using instructions in FPM Supplement 296-33)

A Type of Investigation	B Extra Coverage	C Sensitivity Level	D Access	E Nature of Action Code	F Date of Action (Month Day Year)

G Geographic Location	H Position Code	I Position Title

J SON	K Location of Official Personnel Folder	L SOI	M Location of Security Folder
	☐ None ☐ NPRC ☐ At SON — Other Address — ZIP Code		☐ None ☐ At SOI ☐ NPI — Other Address — ZIP Code

N OPAC-ALC Number	O Accounting Data and/or Agency Case Number

P Requesting Official	Name and Title	Signature	Telephone Number FTS ( ) ( )	Date

Persons completing this form should begin with the questions below. Please type or print your answers.

1 FULL NAME • If you have only initials in your name, use them and State (IO). • If you have no middle name, enter "NMN." • If you are a "Jr.," "Sr.," "II," etc., enter this in the box after your middle name.

Last Name	First Name	Middle Name	Jr., II, etc.
BERGER	SAMUEL	RICHARD	

2 DATE OF BIRTH (Month Day Year): 1 10 | 2 8 | 4 5

3 PLACE OF BIRTH • Use the two letter code for the State.

City	County	State	Country (if not in the United States)
SHARON	LITCHFIELD	CT	

4 SOCIAL SECURITY NUMBER: 122-38-9468

5 OTHER NAMES USED
Give other names you used and the period of time you used them *(for example: your maiden name, name[s] by a former marriage, former name[s], alias[es], or nickname[s])*. If the other name is your **maiden name**, put **"nee"** in front of it.

Name	Month/Year To	Name	Month/Year To
"SANDY" BERGER	1945 To present		

6 OTHER IDENTIFYING INFORMATION

Height (feet and inches)	Weight (pounds)	Hair Color	Eye Color	Sex (mark one box)
5'8"	185	Reddish-Brown	blue	☐ Female ☒ Male

7 TELEPHONE NUMBERS

Work (include Area Code and extension)	Home (include Area Code)
(✓) Day 202-973-1159	( ) Day
( ) Night ( )	(✓) Night (202)363-8070

8 CITIZENSHIP

a Mark the box at the right that applies to you and follow the instructions next to the box you marked.

I am a U.S. citizen by birth in the U.S.	✓	Answer Items **b and d**
I am a U.S. citizen, but I was **NOT** born in the U.S.		Answer Items **b, c, and d**
I am not a U.S. citizen.		Answer Items **b and e**

b Your Mother's Maiden Name: Lehrman

c UNITED STATES CITIZENSHIP If you are a U.S. Citizen, but were not born in the U.S., provide information about one or more of the following proofs of your citizenship.

Naturalization Certificate ***(Where were you naturalized?)***

Court	City	State	Certificate Number	Month/Day/Year Issued

Citizenship Certificate ***(Where was the certificate issued?)***

City	State	Certificate Number	Month/Day/Year Issued

State Department Form 240 - Report of Birth Abroad of a Citizen of the United States

Give the date the form was prepared and give an explanation if needed. — Month/Day/Year: — Explanation:

U.S. Passport

This may be either a current or previous U.S. Passport. — Passport Number: — Month/Day/Year Issued:

d DUAL CITIZENSHIP If you are *(or were)* a dual citizen of the United States and another country, provide the name of that country in the space to the right. — Country: None

e ALIEN If you are an alien, provide the following information: 166-410-10437410-1

Place You Entered the United States:	City	State	Date You Entered U.S. Month	Day	Year	Alien Registration Number	Country of Citizenship

ENCLOSURE

9 WHERE YOU HAVE LIVED

Fill in your full address for every place you have lived **beginning with the present (#1) and working backward 15 years.**

- If you attended school away from your permanent residence, list the address you lived at while attending school.
- For any address **in the past 3 years**:
  - List a person who knew you at that address, preferably someone who still lives in that area.
  - If address listed is "General Delivery," a Rural Route, or Star Route, provide directions for locating the residence on an attached continuation sheet, **and show the block #.**

	Month/Year	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code	Telephone Number
#1		Present	4228 45th St, N.W.		WASHINGTON	DC	20016	
Name of Person Who Knows You			Street Address			State	ZIP Code	Telephone Number
#2		To						
Name of Person Who Knows You			Street Address	Apt. #	City (Country)	State	ZIP Code	Telephone Number ( )
#3		To						
Name of Person Who Knows You			Street Address	Apt. #	City (Country)	State	ZIP Code	Telephone Number ( )
#4		To						
Name of Person Who Knows You			Street Address	Apt. #	City (Country)	State	ZIP Code	Telephone Number ( )
#5		To						
Name of Person Who Knows You			Street Address	Apt. #	City (Country)	State	ZIP Code	Telephone Number ( )
#6		To						
Name of Person Who Knows You			Street Address	Apt. #	City (Country)	State	ZIP Code	Telephone Number ( )

b6
b7C

10 WHERE YOU WENT TO SCHOOL

Fill in information about schools you have attended, beyond Junior High School, **beginning with the most recent (#1) and working backward 15 years.** Also list **College or University degrees** received beyond 15 years.

- For schools you attended **in the past 3 years**, list a person who knew you at school (such as an instructor or a student).
- For correspondence schools and extension classes, **list records location address.**
- In the "Code" block, use one of these **codes: 1 - High School 2 - College/University 3 - Vocational/Trade School**

	Month/Year	Month/Year	Code	Name of School	Degree/Diploma/Other *(show each degree and date received if Code 2)*	Month/Year
#1	9/67	To 6/71	2	HARVARD LAW SCHOOL	J.D.	6/71
Street Address and City (Country) of School						State / ZIP Code
CAMBRIDGE,						MA 02138
Name of Person Who Knew You			Street Address and City (Country)		State / ZIP Code	Telephone Number
#2	9/63	To 6/67	2	CORNELL UNIVERSITY	A.B.	6/67
Street Address and City (Country) of School						State / ZIP Code
ITHACA,						NY 14850
Name of Person Who Knew You			Street Address and City (Country)		State / ZIP Code	Telephone Number ( )
#3		To				
Street Address and City (Country) of School						State / ZIP Code
Name of Person Who Knew You			Street Address and City (Country)		State / ZIP Code	Telephone Number ( )

b6
b7C

Enter your Social Security Number before going to the next page → 122-38-9468

Standard Form 86
Revised December 1990
U.S.Office of Personnel Management
FPM Chapter 732

Form approved:
O.M.B. No. 3206-0007
NSN 7540-00-634-4036
86-110

Questionnaire for Sensitive Positions (For National Security)

Read this information carefully. Follow the instructions fully or we cannot process your form.

Why do we need the information you will give us and how will we use it?

The U.S. Government has conducted background investigations for over 50 years. It does this to establish that applicants for or incumbents in sensitive positions, either employed by the Government or working for the Government under contract, are eligible for a required security clearance or for performing sensitive duties. We use the information from this form primarily as the basis for an investigation that will be used to determine your eligibility for a national security position.

The information you give us is for Official Use Only; we will protect it from unauthorized disclosure. Authorized disclosures include the Privacy Act Routine Uses shown on this form. The information you provide in response to question 25a on use of illegal drugs will not be provided for use in any criminal proceedings against you.

Giving us the information we ask for is voluntary. However, we may not be able to complete your investigation, or complete it in a timely manner, if you don't give us each item of information we request. This may affect your placement or clearance prospects.

What authority do we have to ask you for the information requested on this form?

The U.S. Government is authorized to ask for this information under Executive Order 10450; section 2165 of title 42, U.S. Code; parts 5, 732, and 736 of Title 5, Code of Federal Regulations, and other statutes authorizing background investigations. We ask for your Social Security number to keep our records accurate, because other people may have the same name and birth date. Executive Order 9397 also asks Federal agencies to use this number to help identify individuals in agency records.

What is the investigative process?

Background investigations for national security are conducted to develop information to show whether or not a person is reliable, trustworthy, of good conduct and character, and loyal to the United States. The information you provide on this form, including any specific agency instructions of Question 14c., and any other special instructions, is confirmed by investigation. Your current employer must be contacted, even if you indicated on your SF 171, or other form, that you do not want the present employer contacted. In addition to the questions on this form, inquiry also is made about a person's adherence to security requirements, mental or health disorders, dishonest conduct, sexual misconduct, vulnerability to blackmail or coercion, falsification, misrepresentation and any other behavior, activities, or associations that tend to show the person is not reliable, trustworthy, or loyal.

An interview with you is a normal part of the investigative process. This Personal Subject Interview is generally the first step in the investigation, and is conducted under oath, affirmation, or unsworn declaration. It provides you the opportunity to update, clarify, and explain more completely information on your form, which often helps to complete your investigation faster.

If your investigation requires a Personal Subject Interview, you will be contacted in advance by telephone or mail to arrange a time and location for the interview. It is important that the interview be conducted as soon as possible after you are contacted. Postponements will delay the processing of your investigation. Declining an interview may result in your investigation being delayed or canceled.

You will be asked to bring identification with your picture on it, such as a valid State driver's license, to the interview. There are other documents you may be asked to bring to verify your identity as well. These include: documentation of any legal name change; Social Security card; and/or birth certificate.

Documents that verify any significant claims or activities may also be requested, for example: alien registration; naturalization certificate; originals or certified copies of college transcripts or degrees; high school diploma; professional license(s) or certificate(s); military discharge certificate(s) (DD Form 214); marriage certificate(s); passport; and/or business license(s). You also may be asked to bring documents that pertain to information provided in your answers to questions on the form or other matters requiring specific attention. These matters include: termination or discharge from employment; delinquent loans or taxes, bankruptcy, judgments, liens, or other financial obligations; and arrests, convictions, probation and/or parole.

Who makes a final determination?

Final determination on your eligibility for a national security position and your being granted a clearance is the responsibility of the OPM or the Federal agency that requested your investigation. You may be provided the opportunity to personally explain, refute, or clarify any information before a final decision is made.

How is this form organized?

This form has two parts. Part 1 asks for background information, including where you have lived, gone to school, and worked. Part 2 asks about your activities and such matters as firings from a job, criminal history record, use of illegal drugs and alcohol consumption. In answering Part 2, you should keep in mind that your answers to questions are considered together with the information obtained in the investigation to reach an appropriate adjudication for a sensitive position.

What are the penalties for inaccurate or false statements?

The U.S. Criminal Code provides that knowingly falsifying or concealing a material fact is a felony which may result in fines of up to $10,000, or 5 years imprisonment, or both. In addition, Federal agencies generally fire, do not grant clearance, or disqualify individuals who have materially and deliberately falsified these forms, and this remains a part of our permanent record for future placements. Because the position for which you are being considered is a sensitive one, your trustworthiness is a very important consideration in deciding your eligibility for security clearance. Your prospects of placement or clearance are better if you answer all questions truthfully and completely. In the course of an interview with a Federal official you will have

adequate opportunity to explain any information you give us on the form and make your comments part of the record.

How is the SF 171 used with this form?

For competitive civil service positions, a copy of the Application for Federal Employment (SF 171), or a form provided to you, will be attached to the SF 86. For certain other and contractor positions, the SF 171 is not required. You will be advised by the office assisting you.

How is this form filled out?

1. Follow the instructions of the person who gave you the form and any other supplementary information furnished by that person to assist you in completion of the form. Find out how many copies of the form you are to turn in. You must sign and date, in ink, the original and each copy you submit.

2. You will need a continuation sheet(s), SF 86A, if in the last 15 years you have lived in more than 6 residences, attended more than 3 schools, or had more than 7 employments/self-employments/unemployments.

If additional space is needed, use a blank piece of paper. Each blank piece of paper you use must contain your name and Social Security number at the top of the page.

3. Type or legibly print your answers. We cannot accept your form if it is not legible.

4. You must use the State codes (abbreviations) listed in the box below when you fill out your form.

5. The 5-digit postal ZIP codes are needed to speed the processing of your investigation. The office that provided you with the form will assist you in completing the ZIP codes.

6. Whenever "City (Country)" is shown in an address block, also provide in that block the name of the country when the address is outside the United States.

7. When providing dates, you may use numbers 1-12 to indicate months if you don't believe you have enough space to write the month; and for the same reason, for year you may show the last two numbers in the year. For example, June 8, 1967, could be shown as 6/8/67, or January 1984 could be shown as 1/84.

If you have any questions, call the office that gave you the form. Be sure to sign and date the certification statement on page 9 and complete the release on page 10. Any forms that are not completed according to these instructions will be returned. This will delay the processing of your case.

Alabama	AL	Hawaii	HI	Massachusetts	MA	New Mexico	NM	South Dakota	SD
Alaska	AK	Idaho	ID	Michigan	MI	New York	NY	Tennessee	TN
Arizona	AZ	Illinois	IL	Minnesota	MN	North Carolina	NC	Texas	TX
Arkansas	AR	Indiana	IN	Mississippi	MS	North Dakota	ND	Utah	UT
California	CA	Iowa	IA	Missouri	MO	Ohio	OH	Vermont	VT
Colorado	CO	Kansas	KS	Montana	MT	Oklahoma	OK	Virginia	VA
Connecticut	CT	Kentucky	KY	Nebraska	NE	Oregon	OR	Washington	WA
Delaware	DE	Louisiana	LA	Nevada	NV	Pennsylvania	PA	Wisconsin	WI
Florida	FL	Maine	ME	New Hampshire	NH	Rhode Island	RI	West Virginia	WV
Georgia	GA	Maryland	MD	New Jersey	NJ	South Carolina	SC	Wyoming	WY
American Samoa	AS	Dist. of Columbia	DC	Guam	GU	Northern Marianas	CM	Puerto Rico	PR
Trust Territory	TT	Virgin Islands	VI						

PRIVACY ACT ROUTINE USES

This record and information in this record may be used in disclosing information:

- To designated officers and employees of agencies, offices, and other establishments in the executive, legislative, and judicial branches of the Federal Government, having a need to evaluate qualifications, suitability, and loyalty to the United States Government and/or a security clearance or access determination;
- To designated officers and employees of agencies, offices, and other establishments in the executive, legislative, and judicial branches of the Federal Government, and the District of Columbia Government, when such agency, office, or establishment conducts an investigation of the individual for purposes of granting a security clearance, or for the purpose of making a determination of qualifications, suitability, or loyalty to the United States Government, or access to classified information or restricted areas;
- To designated officers and employees of agencies, offices, and other establishments in the executive, judicial, or legislative branches of the Federal Government, having the responsibility to grant clearances, to make a determination regarding access to classified information or restricted areas, or to evaluate qualifications, suitability, or loyalty to the United States Government, in connection with performance of a service to the Federal Government under a contract or other agreement;
- To intelligence agencies for use in intelligence activities;
- To any source from which information is requested in the course of an investigation, to the extent necessary to identify the individual, inform the source of the nature and purpose of the investigation, and to identify the type of information requested;
- To the Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order where there is an indication of a violation or potential violation of civil or criminal law or regulation;
- To an agency, office, or other establishment in the executive, legislative, or judicial branches of the Federal Government, or the District of Columbia Government, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the conducting of a security or suitability investigation of an individual, the classifying of jobs, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency;
- To Federal agencies as a data source for management information through the production of summary descriptive statistics and analytical studies in support of the functions for which the records are maintained or for related studies;
- To a congressional office in response to an inquiry made at the request of that individual;
- In litigation before a court or in an administrative proceeding being conducted by a Federal agency;
- To the National Archives and Records Administration for records management inspections;
- To the Office of Management and Budget in connection with private relief legislation;
- To respond to a request for discovery or for appearance of a witness; and
- To the Merit Systems Protection Board, the Office of Special Counsel, the Equal Employment Opportunity Commission, or the Federal Labor Relations Authority, in connection with functions vested in those agencies.

Public Burden Information

Public burden reporting for this collection of information is estimated to vary from **30** minutes to **180** minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Reports and Forms Management Officer, U.S. Office of Personnel Management, 1900 E Street, N.W., Room 6410, Washington, D.C. 20415; and to the Office of Management and Budget, Paperwork Reduction Project (3206-0007), Washington, D.C. 20503. Do not send your completed form to the addresses in this box.

Standard Form 86
Revised December 1990
U.S.Office of Personnel Management
FPM Chapter 732

Form approved:
O.M.B. No. 3206-0007
NSN 7540-00-634-4036
86-110

UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

I Authorize any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, and any authorized Federal agency, to obtain any information relating to my activities from schools, residential management agents, employers, criminal justice agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, and criminal history record information.

I Understand that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will or may be needed, and I may be contacted for such a release at a later date.

I Further Authorize the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, and any other authorized agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for, assignment to, or retention in, a sensitive position, in accordance with 5 U.S.C. 9101.

I Authorize custodians of records and sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

I Understand that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 86, and may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for two (2) years from the date signed.

Signature *(Sign in ink)*	Full Name *(Type or Print Legibly)*	Date Signed
Samuel R. Berger	SAMUEL R. BERGER	January 13, 1993
Other Names Used		**Social Security Number**
		112-38-9146 18
Current Address *(Street, City)*	**State** / **ZIP Code**	**Home Telephone Number** *(Include Area Code)*
4228 45th St, N.W. Washington,	DC / 20016	(202) 363-8070

28 YOUR ASSOCIATION RECORD

	Yes	No
a. In the last 15 years, have you been an officer or a member or made a contribution to an organization dedicated to the violent overthrow of the United States Government and which engages in illegal activities to that end, knowing that the organization engages in such activities with the specific intent to further such activities?		X
b. In the last 15 years, have you knowingly engaged in any acts or activities designed to overthrow the United States Government by force? If you answered "Yes" to a or b, explain in the space below:		X

Continuation Space

Use the continuation sheet(s) *(SF 86A)* for additional answers to questions 9, 10, and 11. Use the space below to continue answers to all other questions and any information you would like to add. If more space is needed than what is provided below, use a blank sheet(s) of paper. Start each sheet with your name and Social Security Number. Before each answer, identify the number of the question.

Q15: Dec 1988 Britain (2)

Dec 1988 France (2)

Jun 1987 China (2)

JUN 1987 Hong Kong (2)

Aug 1977 - JAN. 1981 travel for Dept of State (Switzerland, Italy, Austria, Indonesia, Malaysia, Japan, Kenya, South Africa, France)

Q17: Zelda Wagman Harrison 15 9|24|18 U.S. U.S. 625 Biltmore Way Coral Gables, Fl

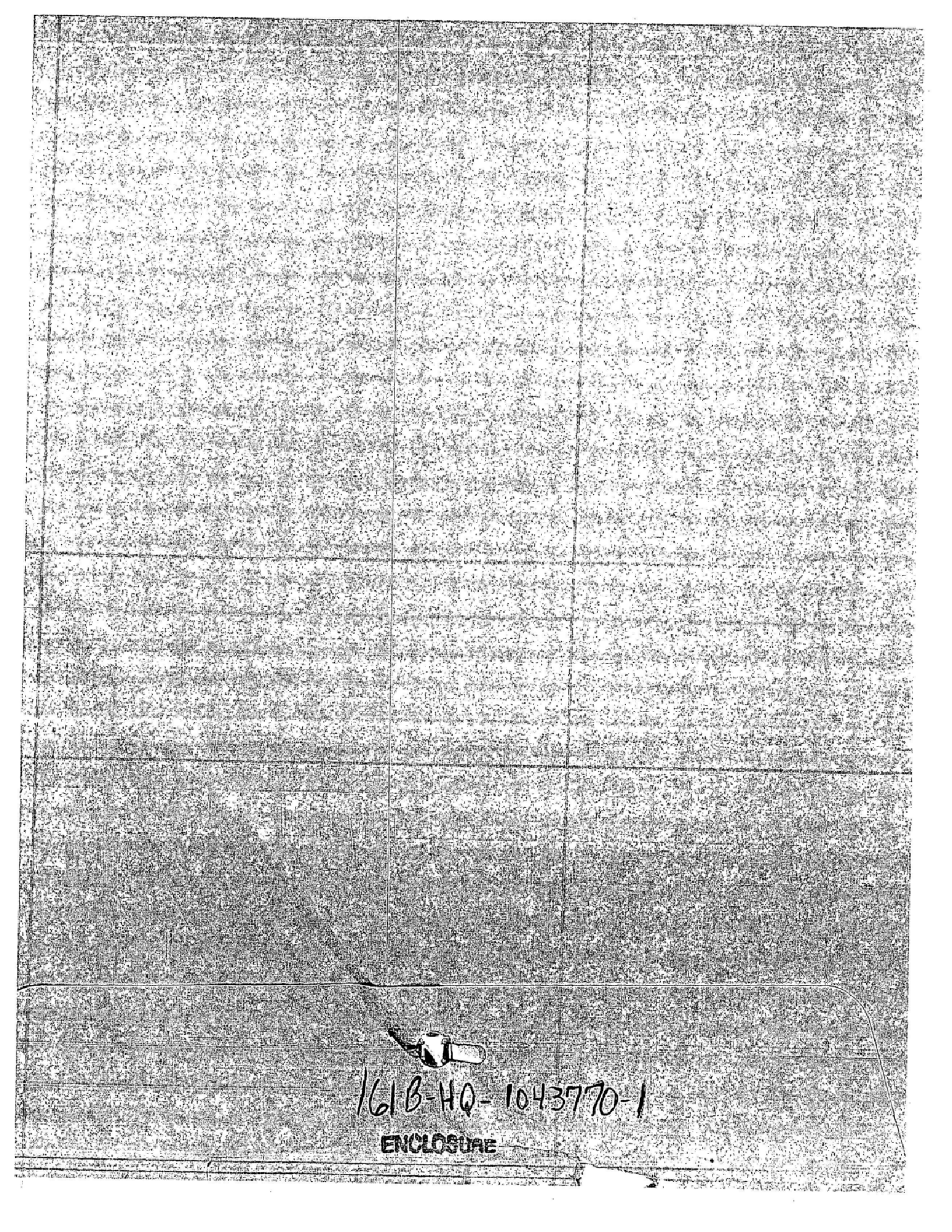
After completing Parts 1 and 2 of this form and any attachments, you should review your answers to all questions to make sure the form is complete and accurate, and then sign and date the following certification and sign and date the release on page 10. If you attach an SF 171, Application for Federal Employment, make sure that it is updated and that any information added to the SF 171 is initialed and dated.

Certification That My Answers Are True

I read each question asked of me and understood each question. My statements on this form, and any attachments to this form, are true, complete, and correct to the best of my knowledge and belief and are made in good faith. I understand that a knowing and willful false statement on this form can be punished by fine or imprisonment or both.

Signature *(Sign in ink)* Samuel R Berger Date January 13, 1993

Enter your Social Security Number before going to the next page → 112-13-1946



161B-HQ-1043770-1

ENCLOSURE

TRANSITION

AN UPDATE ON THE INCOMING ADMINISTRATION

Changing presidents to cost $5 million

The cost of changing presidents is not cheap, running $5 million dollars to move Bill Clinton into the Oval Office and move George Bush out.

That's $5 million Bush probably didn't think was going to be spent when he signed the appropriations bill Oct. 6.

The government is required by a 1964 law to pay for a presidential transition "to assure continuity in the faithful execution of the laws and in the conduct of the affairs of the federal government, both domestic and foreign."

The money is split between the incoming and outgoing leaders: Clinton gets $3.5 million and Bush $1.5 million.

Clinton gets to use the funds to cover expenses between his election and 30 days after his inauguration. It can be used for salaries and travel of his transition staff and for renting, furnishing and supplying offices.

Bush can use the funds to pay salaries and equip offices for those who'll be working out the transfer of power.

— Brian O'Connell

Transition coverage

▶ Congress & Clinton, **1A**
▶ Executive pardons, **2A**
▶ Clinton's hometown, **7A**
▶ Boost in real estate, **1B**

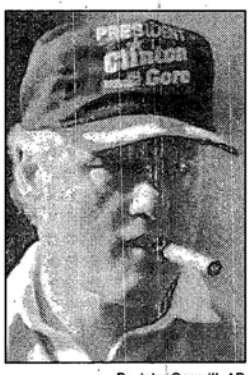
National news: 3A
Washington/world: 10A

EMPLOYMENT LINES: Scratch Hillary Clinton from serving on the White House staff. Federal law prohibits a public official "including the president" from appointing a relative to a job "over which he exercises jurisdiction." The law was signed in 1967 by President Lyndon Johnson, still smarting over President Kennedy appointing his brother, Robert, as attorney general, *Time* magazine reports. *Time* says Hillary Clinton could take an unpaid job, such as heading a task force on children and family issues.

▶ Will Bush's right-hand man James Baker find a home in Clinton's administration? Maybe, *Time* reports. Clinton got a positive response from Israeli Prime Minister Yitzhak Rabin to the idea of making Baker a special envoy to oversee the Mideast peace talks.

▶ More Cabinet buzz: *Newsweek* chimes in on the speculation by saying Clinton aides are sizing up Sen. Lloyd Bentsen, D-Texas, as Treasury secretary and former New Jersey governor Tom Kean to run the Education Department. No official word, however, from Little Rock.

HANDS OFF: That's how Clinton and his team will treat foreign policy until they move into the White House. "I think they'll do everything they can to keep it going," Clinton said of the Bush administration. "I'll support whatever they do. It's President Bush's call. I'll support."



By John Gaps III, AP

CLINTON: The president-elect enjoys a cigar during a round of golf Saturday.

BUSY WEEKEND: Clinton met with his transition team in Little Rock but also spent time jogging, playing golf and seeing the film, *A River Runs Through It*, with his family.

On Friday, transition director Warren Christopher announced Clinton's ethics rules for his transition team, including a six-month ban on lobbying any agency with which transition employee has contact.

Questions were immediately raised about Samuel Berger, who heads national security issues for the transition and is a registered foreign agent. Berger, a lawyer, says he did volunteer lobbying for the non-communist regime in Poland in 1989, but has never represented a foreign government.

Clinton aides, who say appointees may face a lifetime ban on foreign lobbying, say they see no conflict.

Also, Clinton was interviewed Sunday night by PBS host Bill Moyers, who also accompanied the Clintons to the movies. That prompted speculation Moyers could be in line for a White House job, possibly as press spokesman, a job he held under President Johnson.

— Bill Nichols

ays in military

the Nation that he supports the ban, but wants hearings.

Meanwhile, the case of Navy Petty Officer Keith Meinhold resumes today in a federal court in Los Angeles.

Meinhold was honorably discharged three months ago after announcing his homosexuality on national television. A judge ordered him reinstated until the Navy presents its argument for the discharge.

The judge also plans to rule on constitutionality of the ban.

The case has heated the debate over the ban.

Retired admiral Thomas Moorer, former chairman of the Joint Chiefs, said on ABC's *This Week with David Brinkley* that lifting the ban would mean "you're going to have men kissing each other and hugging," leading to name-calling and fighting.

"I defy you to find a military man who has had the responsibility of molding a unit, taking men into combat, who won't agree with me," he said.

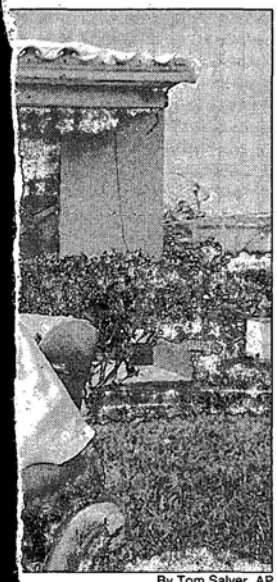
Moorer said senior officers would be "sorely tempted" to resign to protest lifting the ban.

"Had I been in their position, I would certainly give it very serious thought," Moorer said.

Former Navy secretary John Lehman said reversing the ban amounts to "social engineering," but called for an end to gay "witch hunts."

"Homosexual activity is absolutely incompatible with life aboard ship and life in the military," Lehman said.

curfew ends



By Tom Salyer, AP

commit crimes are going to be
nts to keep the curfew in place.

shifts and are at about three times normal strength, said spokesman Donald Blocker.

He said the curfew could be imposed again if crime jumps in the next few weeks.

"This is still pretty much a bombed-out area," says Maj. Chuck Habermehl of the Homestead police. "It's a long way from being normal."

That's why the Rev. John Ferguson wants to keep the urfew.

The storm destroyed about 000 homes in south Dade unty. Thousands still have ndows and roofs patched th plastic and doors that n't lock.

Some residents say they y as well paint their homes h a bull's-eye for burglars.

"It's depressing," said Fergu-, pastor at the Second Bap-t Church of Richmond ights. "It'll be another eight nths to a year before we can y we're 50 percent back to here we were before."

Cash crunch threatens 38 state parks

By Betsy Miner
USA TODAY

A third of Florida's state parks are set to close by January because of a $7 million shortage caused by Hurricane Andrew and a housing sales slump.

"It's heartbreaking. People come to this state because we have good parks," said Virginia Wetherell of the Department of Natural Resources.

The 38 parks targeted for indefinite closure are the smaller and least visited of Florida's 146 parks. The closings are not expected to have a major impact on the tourist season.

A list is due out today. About 150 state park employees will lose their jobs.

Hurricane Andrew is blamed for a $1.3 million loss. Andrew damaged and closed 11 parks, including Bill Baggs Cape Florida state park in Key Biscayne.

Less income from documentary stamps is blamed for most of the shortfall. Florida parks are partly supported by fees collected when documents are filed. That income plummeted as home sales slumped.

"The parks would be closed until we can see that money pick up again," said state parks director Fran Mainella.

Parks would stay open only if the state approves more money by Jan. 1. That's considered unlikely.

checks for housing assistance and other aid.

Requests for help have decreased dramatically: from 2,000 applications a day to 200.

NCIC CHECK ROOM 1328 [redacted]153, ATTN: [redacted] "TRANSITION"
WANTED & CCH FILES

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b7C

FROM: SPECIAL INQUIRY UNIT, DIV 6, RM 4371, TL# 114
EXT: 2587 ATTN: PSS [redacted]

SUBJECT: SAMUEL RICHARD BERGER BUDED: 01/19/93
AKA(S): BERGER, SANDY

THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED TO THE SPECIAL INQUIRY UNIT, RM 4371, VIA ROUTING SLIP MARKED 'URGENT'.

SUBJECT IS DESCRIBED AS FOLLOWS:
RESULT NAME: SAMUEL RICHARD BERGER
DOB: 10/28/45
POB: SHARON, CT
SSAN: 122-38-9468
CURRENT ADDRESS: 4228 45TH ST
WASHINGTON, DC 20016
EMPLOYMENT: HOGAN & HARTSON
555 13TH ST WASHINGTON, DC 20004

CLOSE RELATIVES

RESULT	NAME	DOB	RESIDENCE
------	LOUIS LAUFER	unknown	* * * *, CT

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CHECK CONDUCTED BY: [redacted], ON 1/19/93

[redacted]

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NO NCIC WANT SOC/122389468
NO NCIC WANT DOB/102845 NAM/BERGER, SAMUEL RICHARD

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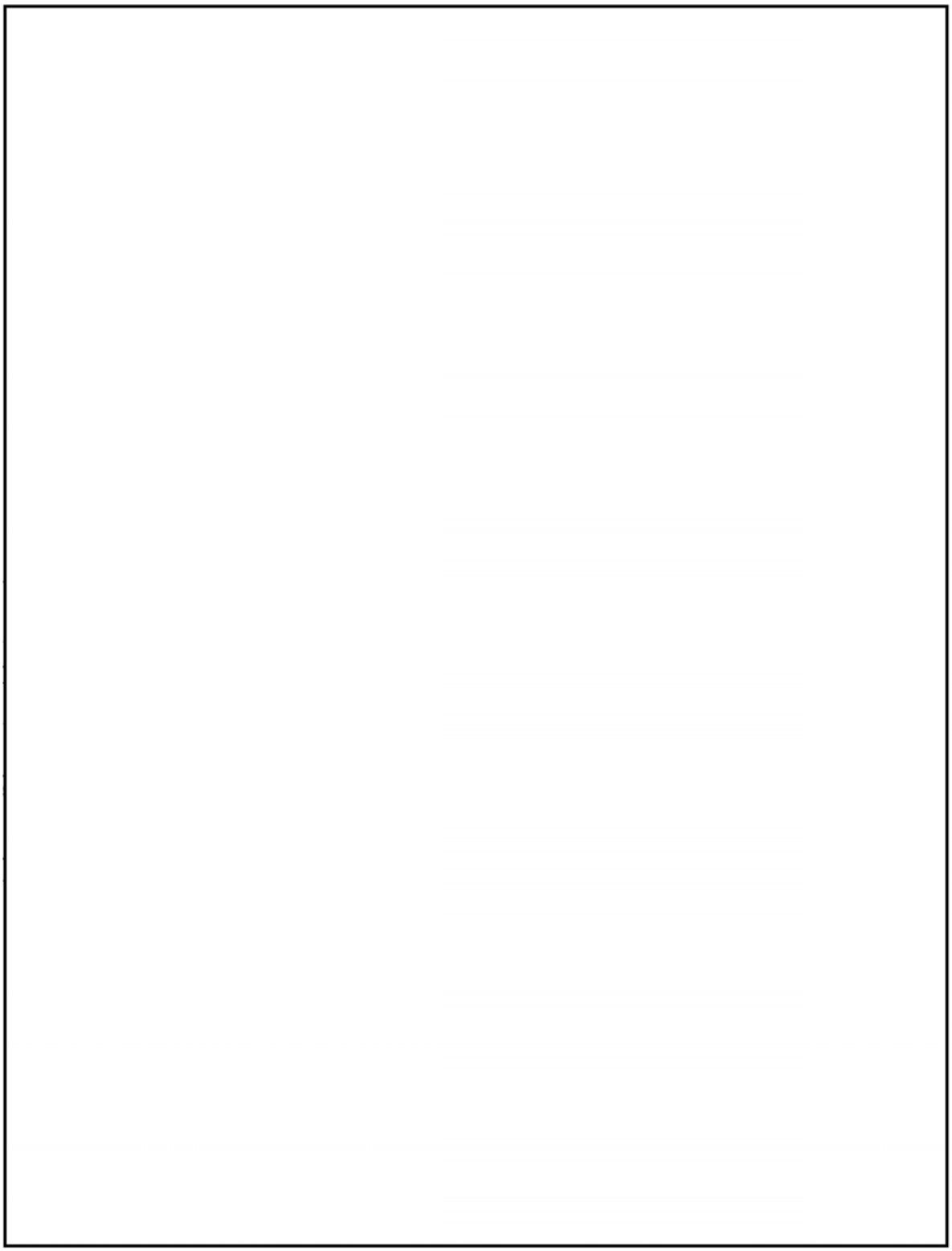

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"TRANSITION"

TO: NEXIS - ATTN: [redacted] (DATA BANK) [redacted]

FROM: SPECIAL INQUIRY UNIT, 4371, TL# 114
[redacted] 324-2587

SUBJECT: SAMUEL RICHARD BERGER BUDED: 01/19/93

THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED TO THE SPECIAL INQUIRY UNIT, RM 4371, VIA ROUTING SLIP MARKED 'URGENT'.

SUBJECT IS DESCRIBED AS FOLLOWS:

RESULT +/-

NAME: SAMUEL RICHARD BERGER

DOB: 10/28/45 POB: SHARON, CT
SSAN: 122-38-9468

------ CURRENT RESIDENCE: 4228 45TH ST
WASHINGTON, DC 20016

EMPLOYMENT: HOGAN & HARTSON
555 13TH ST WASHINGTON, DC 20004

193- Stones printed

CHECK CONDUCTED BY: [redacted], ON 1/15/93
USING THE Papers DATABASE(S) AND THE FOLLOWING
PARAMETERS: Samuel Berger

[redacted]

[redacted]

[redacted]

HAMILTON NAME CHECK-NEEDED 4 P.M. 12/22

SAMUEL (AKA SANDY) R. BERGER

DOB (UNKNOWN) Born Approx. 1946

POB (UNKNOWN)

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IMPORTANT AND URGENT

FBI/DOJ

Employed Hogan + Hartson, Washington D.C.

305-787-6678

[redacted]

12/22/92

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[redacted]

[redacted]

(U) [redacted]

[redacted]

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EXEMPTED FROM AUTOMATIC DECLASSIFICATION b7E
AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
EXEMPTION CODE: 25X(1)
DATE 11-04-2025 BY: [redacted] b6
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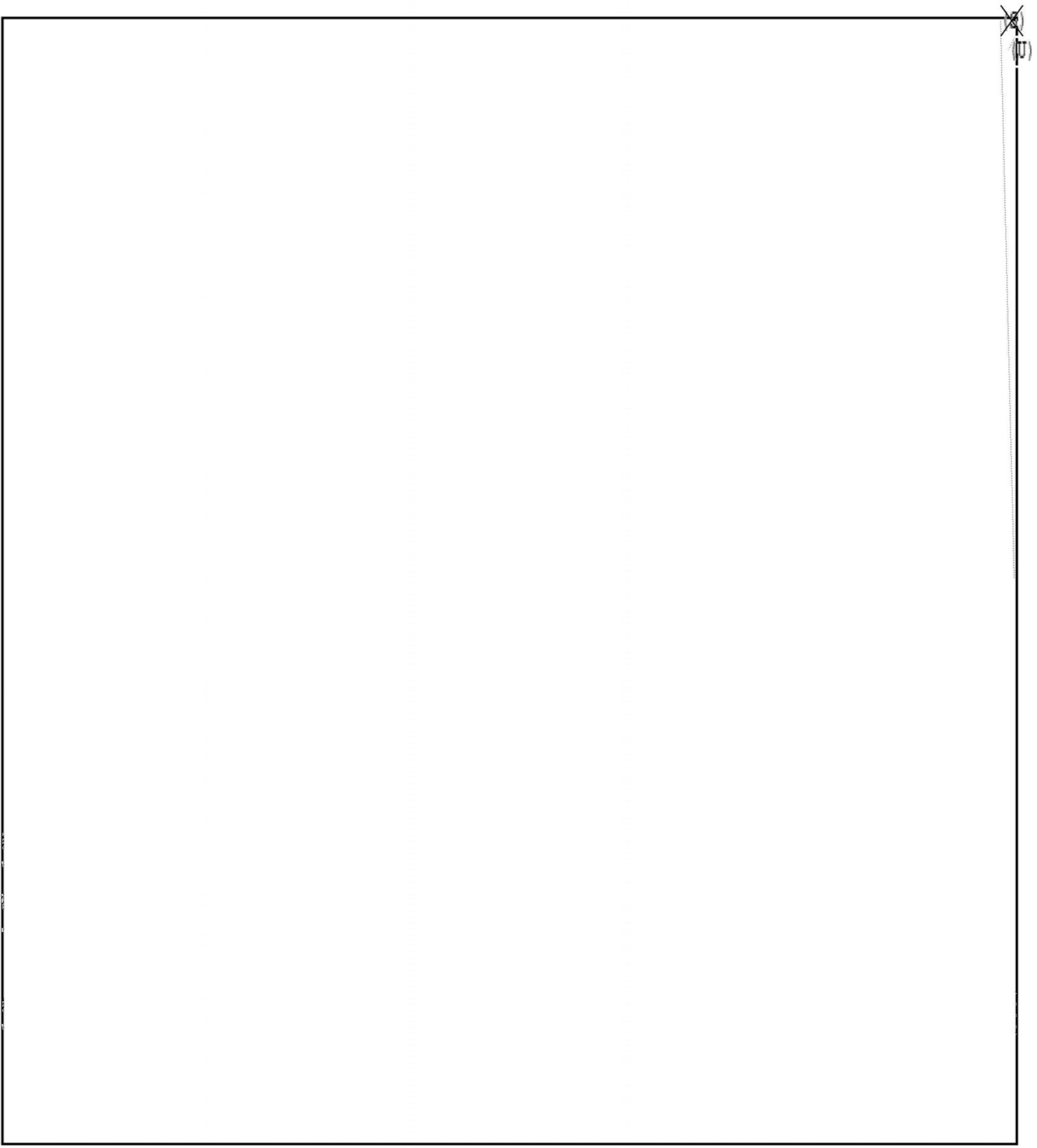

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10,038 "TRANSITION"

ROUTE IN ENVELOPE

TO: INFORMATION MANAGEMENT DIVISION, ELSUR INDEX
ROOM 5331, TL 114

DATE: 01/14/93

FROM: X CID _ LCD _ INTD _ RMS _ OTHER_____

PRIORITY: _ EXPEDITE, WILL PICK UP;
_ ROUTINE
_ DATE NEEDED: 01/19/93

REQUEST FOR SEARCH OF ELSUR INDEX FOR THE PURPOSE OF:

_ TITLE III APPLICATION _ FBI _ DEA
_ FISC APPLICATION
_ LEGAL MOTION (DOJ)
_ FOIPA

_ SPIN/DAPLI
_ SPU
_ INVESTIGATIVE LEAD
_ OTHER_____

(ONE OF THE ABOVE MUST BE CHECKED BEFORE SEARCH WILL BE CONDUCTED.)

REQUESTING/AUTHORIZING AGENT COMPLETE AND RETURN TO:

[redacted] [redacted] 2587 4371 114

NAME NAME EXT. ROOM TL#

NAME; TELEPHONE #; VIN; OR ADDRESS TO BE SEARCHED: SAMUEL RICHARD BERGER

KNOWN ALIASES: SANDY BERGER

SEARCH RESULTS: SA

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CLOSE RELATIVES

RESULT	NAME	DOB	RESIDENCE
NR	LOUIS LAUFER	UNKNOWN	* * * *, CT

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FD-340a (Rev. 11-12-89)

(Title) SAMUEL RICHARD BERGER

(File No.) 161F-HQ-1043770

Item	Date Filed	To be returned Yes	To be returned No		Disposition
1A-1	11/15/99		✓	Original notes re interview of applicant	6/14/99

FD-340b (Rev. 2-5-93)

Universal Case File Number 161F-HQ-1043770

Field Office Acquiring Evidence _____

Serial # of Originating Document 7

Date Received 6/4/99

From _____
(Name of Contributor)

_____
(Address of Contributor)

By _____ b6 b7C
(Name of Special Agent)

To Be Returned ☐ Yes ☐ No

Receipt Given ☐ Yes ☐ No

Grand Jury Material - Disseminate Only Pursuant to Rule 6 (e), Federal Rules of Criminal Procedure

☐ Yes ☐ No

Title: Samuel Richard Berger

Reference: _____
(Communication Enclosing Material)

Description: ☒ Original notes re interview of applicant

161F-HQ-1043770-1A-1

~~Berger~~
161F-HQ-1043770

6/4/99

Bar - DC - unactive
has cabin
Rt 600 Zepp, VA,
~~$1000 (B)~~ Tawney

PRESIDENTIAL BUDED

FAX

1/15/93

FROM: Director, FBI (161B - HQ -1043770)

TO: ADIC, New York
SACs, Boston
Newark
New Haven
St. Louis
WMFO

SAMUEL RICHARD BERGER; AKA: SANDY
SPIN;
OO: FBIHQ
BUDED: 1/29/93

Bureau has been requested by the Office of the President Elect (OPE) to conduct a Level II background investigation (BI) of appointee in connection with a Presidential appointment which does not require Senate confirmation. Appointee was born 10/28/45, in Sharon, Connecticut, resides at 4228 45th Street, NW, Washington, D.C., and has SSAN 122-38-9468.

Field Offices are reminded that the investigative status of a BI, all deadlines and the position for which the appointee is being considered shall not be disclosed to any interviewees. If during the course of the investigation, interviewees provide the nature of the position, that information is not to be further disclosed outside the FBI. Inquiries by interviewees concerning the nature of the position are to be handled as set forth in MIOG, Part II, Section 17-9 (5). Appointees making inquiries regarding the status of their BI are to be referred to the client agency.

Direct results/questions to PSS [redacted] SPIN Unit, FBIHQ, Room 4371, Ext. 2587. If BUDED will not be met, telephonically advise PSS [redacted] and set forth reason(s) in Administrative section of investigative report. SPIN Unit facsimile numbers are: (202) 324-2574 and (202) 324-1373.

Advise FBIHQ (PSS [redacted] and appropriate field offices of any derogatory information in accordance with MIOG, Part II, Section 17-5.1(1).

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[redacted] 1/15/93

[redacted] 1/15/93

161B-HQ-1043770-2
SEARCHED [redacted] INDEXED
SERIALIZED [redacted] FILED
JAN 15 1993
[redacted]

FAX TO ADIC, New York, et al
RE: Samuel Richard Berger

LEADS:

EACH RECEIVING OFFICE:

In addition to investigation to be conducted in those areas marked for coverage in appointee's SF-86, receiving offices are to conduct specific investigation set forth below.

Boston, and WMFO are requested to check appropriate United States Attorneys Office covering the areas where appointee lives, works or went to school, within the scope of this investigation.

NEW HAVEN DIVISION:

Verify date and place of birth through the Bureau of Vital Statistics.

NEW YORK DIVISION

Interview persons knowledgeable concerning his involvement with the Council on Foreign Affairs.

ST. LOUIS DIVISION

Check FRC - Civilian and Military.

WMFO DIVISION

1. Interview appointee in accordance with MIOG, Part II, Section 17-5.6. Discuss counseling. Determine if he ever used alcohol to excess.

2. Determine if he is a member of the D.C. Bar. If he is, determine if any grievances or complaints have ever been filed against him.

3. Check IG and Security at the Department of State.

4. Interview persons knowledgeable concerning his position with International Human Rights Law Group.

5. Interview [redacted] b6 b7C

6. Insure that at least 20 persons knowledgeable concerning appointee are interviewed.

7. Check US Secret Service

8. Check Public Integrity Section and Foreign Agents Registration/Department of Justice.

Memorandum

[redacted]

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To : WFO File 161F-HQ-1043770

Date 04/12/99

From : PSS [redacted]

Subject: RECORDS CHECKS

Attached are records checks which are to be made part of the above listed file. These checks are conducted during the background investigation of SAMUEL RICHARD BERGER.

NORTHERN VIRGINIA RESIDENT AGENCY
UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

FOR APPLICANT BACKGROUND INVESTIGATIONS ONLY

FILE: 161 F -HQ- 1043770 ASSIGNED TO: PSS [redacted] SQUAD: A-1 BUDED 6-2-99 b6 b7C

APPLICANT'S NAME: Samuel Richard Berger

DATE OF BIRTH: 10 / 28 / 45 PLACE OF BIRTH: Sharon, CT

SOCIAL SECURITY ACCOUNT NUMBER: 122 – 38 – 9468

CURRENT ADDRESS: 4228 45th St., NW WDC

ALIASES: Sandy Berger

On 7-6-99, [redacted] caused a search to be made of the records of the Metropolitan Police Department Washington, D.C. and was advised that no record was located concerning Appl.

/ MPD (OPC)
/ DMV/DC (IA [redacted])
/ US SECRET SERVICE (IA [redacted])
/ PARK POLICE (IA [redacted])
___ VCIN (OPC)
___ DMV/VA (OPC)
___ ALEXANDRIA PD (IA [redacted])
___ ARLINGTON PD (IA [redacted])
___ FAIRFAX CO PD (IA [redacted])
___ FAIRFAX CITY PD (IA [redacted])
___ FAUQUIER CO SO (IA [redacted])
___ FALLS CHURCH PD (IA [redacted])
___ HERNDON PD (IA [redacted])
___ LEESBURG PD (IA [redacted])
___ LOUDOUN CO SO (IA [redacted])
___ MANASSAS CITY PD (IA [redacted])
___ MANASSAS PARK PD (IA [redacted])
___ PRINCE WILLIAM CO PD (IA [redacted])
___ QUANTICO PMO (IA [redacted])
___ STAFFORD CO SO (IA [redacted])
___ VIENNA CO PD (IA [redacted])
___ WARRENTON PD (IA [redacted])

___ AOUSC (IG/SY) - - - - - - - - - - - - (IA [redacted])
___ ARMY DEPT. (IG/SY) - - - - - - - - - - - - - - (IA [redacted])
___ BVS - (IA [redacted])
/ DC BAR - (IA [redacted])
___ DC RECORDER OF DEEDS - - - - - - - - - (IA [redacted])
___ DEFENSE DEPT. (IG/SY/OPF) - - - - - - - - (IA [redacted])
___ FDIC - (IA [redacted])
___ FCC - (IA [redacted])
___ FEC - (IA [redacted])
___ FEDERAL RECORD CENTER - - - - - - - - - (IA [redacted])
___ FEDERAL TRADE COMMISSION - - - - (IA [redacted])
___ FOREIGN AGENTS REGISTRATION - - - (IA [redacted]) b6 b7C
___ GSA (IG/SY/OPF) - - - - - - - - - - - - - - - - - (IA [redacted])
___ INTERIOR DEPT. (IG/SY/OPR) - - - - - - - - (IA [redacted])
___ HOUSE DISBURSING OFFICE - - - - - - - - (IA [redacted])
___ DOJ/PIS - (IA [redacted])
___ JUSTICE DEPT.(IG/SY/OPR) - - - - - - - - - - - (IA [redacted])
___ NAVY DEPT. (SY) - - - - - - - - - - - - - - - - - (IA [redacted])
___ OFFICE OF SPECIAL COUNCIL - - - - - - (IA [redacted])
___ SEC - (IA [redacted])
___ SENATE DISBURING OFFICE - - - - - - - - (IA [redacted])
___ OFFICE OF SENATE SECURITY - - - - - - (IA [redacted])
___ STATE DEPT (IG/SY/OPF) - - - - - - - - - - - (IA [redacted])
/ US ATTORNEY'S OFFICE / WDC - - - - (IA [redacted])
___ US ATTORNEY'S OFFICE / VA - - - - - - (IA [redacted])
/ WHITE HOUSE / NSC/___(OPF) - - - - - - - (IA [redacted])

(PLEASE SEE ATTACHED EC FOR ANY SPECIAL REQUEST)

EXTRA LEADS

Standard Form 86
Revised September 1995
U.S. Office of Personnel Management
5 CFR Parts 731, 732, and 736

Form approved:
O.M.B. No 3206-0007
NSN 7540-00-634-4036
86-111

UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

I Authorize any investigator, special agent, or other duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain any information relating to my activities from individuals, schools, residential management agents, employers, criminal justice agencies, credit bureaus, consumer reporting agencies, collection agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, criminal history record information, and financial and credit information. I authorize the Federal agency conducting my investigation to disclose the record of my background investigation to the requesting agency for the purpose of making a determination of suitability or eligibility for a security clearance.

I Understand that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will be needed, and I may be contacted for such a release at a later date. Where a separate release is requested for information relating to mental health treatment or counseling, the release will contain a list of the specific questions, relevant to the job description, which the doctor or therapist will be asked.

I Further Authorize any investigator, special agent, or duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, the Defense Investigative Service, and any other authorized Federal agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for access to classified information and/or for assignment to, or retention in, a sensitive National Security position, in accordance with 5 U.S.C. 9101. I understand that I may request a copy of such records as may be available to me under the law.

I Authorize custodians of records and other sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

I Understand that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 86, and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for five (5) years from the date signed or upon the termination of my affiliation with the Federal Government, whichever is sooner. Read, sign and date the release on the next page if you answered "Yes" to question 21.

Signature *(Sign in ink)*	Full Name *(Type or Print Legibly)*		Date Signed
Samuel R Berger	Samuel Richard Berger		3/2/99
Other Names Used			Social Security Number
"Sandy" Berger			122-38-9468
Current Address *(Street, City)*	State	Zip Code	Home Telephone Number *(Include Area Code)*
4228 45th Street N.W. Washington	DC	20016	(202)363-8070

Memorandum

To : WFO File 161F-HQ-1043770

Date 10/30/99

From : PSS [redacted]

b6
b7C

Subject: RECORDS CHECKS

Attached are records checks which are to be made part of the above listed file. These checks are conducted during the background investigation of SAMEUL RICHARD BERGER.

REQUEST FOR INDICES SEARCH

BUDED 6-2-99/PAST/ EXPEDITE

DATE SENT TO INDICES _____

APPOINTEE Samuel Richard Berger

CASE NUMBER 161F-HQ-1043770

NUMBER OF NAMES TO BE SEARCHED 6

SEARCH and REVIEW all names that are underlined

DO NOT REVIEW 241's, 161's, 116's, 77's and 67's.

	DATE SEARCHED	SEARCHED BY	NEG/POS
ELECTRONIC			
GENERAL			
CFR			

FORWARD TO FILE REVIEW ANY POSITIVE HITS.

FILES WERE REVIEWED ON _____ BY _____

CFR FILES WERE REVIEWED ON _____ BY _____

RETURN RESULTS TO SQUAD A-1
PSS [ ]

b6
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Completed 6-8-99
Sent on 6-9-99 to CFR

SEARCHED _____ INDEXED _____
SERIALIZED _____ FILED _____
JUN 11 1999
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Standard Form 86
Revised September 1995
U.S. Office of Personnel Management
5 CFR Parts 731, 732, and 736

QUESTIONNAIRE FOR NATIONAL SECURITY POSITIONS

2/93

Form approved:
O.M.B. No 3206-0007
NSN 7540-00-634-4036
86-111

Part 1

Investigating Agency Use Only	Codes	Case Number

Agency Use Only (Complete items A through P using instructions provided by the investigating agency).

A Type of Investigation	B Extra Coverage	C Sensitivity Level	D Access	E Nature of Action Code	F Date of Action (Month/Day/Year)

G Geographic Location	H Position Code	I Position Title

J SON	K Location of Official Personnel Folder		L SOI	M Location of Security Folder	
	☐ None ☐ NPRC ☐ At SON	Other Address / Zip Code		☐ None ☐ At SOI ☐ NPI	Other Address / Zip Code

N OPAC-ALC Number	O Accounting Data and/or Agency Case Number

P Requesting Official	Name and Title	Signature	Telephone Number	Date

Persons completing this form should begin with the questions below.

1 FULL NAME - If you have only initials in your name, use them and state (IO) - If you have no middle name, enter "NMN." - If you are a "Jr.," "Sr.," "II", enter this in the box after your middle name.

2 DATE OF BIRTH

Last Name	First Name	Middle Name	Jr., II, etc.	Month/Day/Year
Berger	Samuel	Richard		10/28/45

3 PLACE OF BIRTH - Use the two letter code for the State.

4 SOCIAL SECURITY NUMBER

City	County	State	Country (if not in the United States)	
Sharon	Litchfield	CT		122-38-9468

5 OTHER NAMES USED
Give other names you used and the period of time you used them *(for example: your maiden name, name[s] by a former marriage, former name[s], alias[es], or nickname[s])*. If the other name is your maiden name, put "nee" in front of it.

	Name	Month/Year Month/Year		Name	Month/Year Month/Year
#1	"Sandy" Berger	Oct/45 To Jan/99	#3		To
#2		To	#4		To

6 OTHER IDENTIFYING INFORMATION

Height (feet and inches)	Weight (pounds)	Hair Color	Eye Color	Sex (mark one box)
5'8"	185	Grey	Blue	☐ Female ☒ Male

7 TELEPHONE NUMBERS

Work (include Area Code and extension)	Home (include Area Code)
( ) Day ( ) Night (202)456-9481	( ) Day ( ) Night (202)363-8070

8 CITIZENSHIP
a Mark the box at the right that reflects your current citizenship status, and follow its instructions.

- ☒ I am a U.S. citizen or national by birth in the U.S. or U.S. territory/possession. → Answer items b and d
- ☐ I am a U.S. citizen, but I was NOT born in the U.S. → Answer items b, c, and
- ☐ I am not a U.S. citizen. → Answer items b and e

b Your Mother's Maiden Name
Lehrman

c UNITED STATES CITIZENSHIP If you are a U.S. Citizen, but were not born in the U.S., provide information about one or more of the following proofs of your citizenship.

Naturalization Certificate *(Where were you naturalized?)*

Court	City	State	Certificate Number	Month/Day/Year Issued
N/A				

Citizenship Certificate *(Where was the certificate issued?)*

City	State	Certificate Number	Month/Day/Year Issued

State Department Form 240 - Report of Birth Abroad of a Citizen of the United States

Give the date the form was prepared and give an explanation if needed.	Month/Day/Year	Explanation

U.S. Passport

This may be either a current or previous U.S. Passport	Passport Number	Month/Day/Year Issued
	160083080	03/03/98

d DUAL CITIZENSHIP If you are *(or were)* a dual citizen of the United States and another country, provide the name of that country in the space to the right.

Country: N/A

e ALIEN If you are an alien, provide the following information:

Place You Entered the United States:	City	State	Date You Entered U.S. Month/Day/Year	Alien Registration Number	Country(ies) of Citizenship
	N/A				

9 WHERE YOU HAVE LIVED

List the places where you have lived, beginning with the most recent (#1) and working back 7 years. All periods must be accounted for in your list. Be sure to indicate the actual physical location of your residence: do not use a post office box as an address, do not list a permanent address when you were actually living at a school address, etc. Be sure to specify your location as closely as possible: for example, do not list only your base or ship, list your barracks number or home port. You may omit temporary military duty locations under 90 days (list your permanent address instead), and you should use your APO/FPO address if you lived overseas.

For any address in the last 5 years, list a person who knew you at that address, and who preferably still lives in that area (do not list people for residences completely outside this 5-year period, and do not list your spouse, former spouses, or other relatives). Also for addresses in the last five years, if the adress is "General Delivery," a Rural or Star Route, or may be difficult to locate, provide directions for locating the residence on an attached continuation sheet.

	Month/Year	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
#1	Jun/73	To Present	4228 45th Street, N.W. WFO		Washington	DC	20016
Name of Person Who Knows You			Street Address	Apt. #	City (Country)	State	ZIP Code / Telephone Number
#2	Month/Year	Month/Year To	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State	Zip Code / Telephone Number
#3	Month/Year	Month/Year To	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State	ZIP Code / Telephone Number
#4	Month/Year	Month/Year To	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State	ZIP Code / Telephone Number
#5	Month/Year	Month/Year To	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State	ZIP Code / Telephone Number

10 WHERE YOU WENT TO SCHOOL

List the schools you have attended, beyond Junior High School, beginning with the most recent (#1) and working back 7 years. List College or University degrees and the dates they were received. If all of your education occurred more than 7 years ago, list your most recent education beyond high school, no matter when that education occurred.

- Use one of the following codes in the "Code" block:
  1 - High School 2 - College/University/Military College 3 - Vocational/Technical/Trade School
- For schools you attended in the past 3 years, list a person who knew you at school (an instructor, student, etc.). Do not list people for education completely outside this 3-year period.
- For correspondence schools and extension classes, provide the address where the records are maintained.

	Month/Year	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
#1		To		No change since last investigation 2/4/93		
Street Address and City (Country) of School					State	ZIP Code
Name of Person who Knew You			Street Address	Apt. # City (Country)	State	ZIP Code / Telephone Number
	Month/Year	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
#2		To				
Street Address and City (Country) of School					State	ZIP Code
Name of Person who Knew You			Street Address	Apt. # City (Country)	State	ZIP Code / Telephone Number
	Month/Year	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
#3		To				
Street Address and City (Country) of School					State	ZIP Code
Name of Person who Knew You			Street Address	Apt. # City (Country)	State	ZIP Code / Telephone Number

Enter your Social Security Number before going to the next page → 122-38-9468

11 YOUR EMPLOYMENT ACTIVITIES

List your employment activities, beginning with the present (#1) and working back 7 years. You should list all full-time work, part-time work, military service, temporary military duty locations over 90 days, self-employment, other paid work, and all periods of unemployment. The entire 7-year period must be accounted for without breaks, but you need not list employments before your 16th birthday. EXCEPTION: Show all Federal civilian service, whether it occurred within the last 7 years or not.

- Code. Use one of these codes listed below to identify the type of employment:

  1 - Active military duty stations
  2 - National Guard/Reserve
  3 - U.S.P.H.S. Commissioned Corps
  4 - Other Federal employment
  5 - State Government (Non-Federal employment)
  6 - Self-employment (Include business name and/or name of person who can verify)
  7 - Unemployment (Include name of person who can verify)
  8 - Federal Contractor (List Contractor, not Federal agency)
  9 - Other

- Employer/Verifier Name. List the business name of your employer or the name of the person who can verify your self-employment or unemployment in this block. If military service is being listed, include your duty location or home port here as well as your branch of service. You should provide separate listings to reflect changes in your military duty locations or home ports.

- Previous Periods of Activity. Complete these lines if you worked for an employer on more than one occasion at the same location. After entering the most recent period of employment in the initial numbered block, provide previous periods of employment at the same location on the additional lines provided. For example, if you worked at XY Plumbing in Denver, CO, during 3 separate periods of time, you would enter dates and information concerning the most recent period of employment first, and provide dates, position titles, and supervisors for the two previous periods of employment on the lines below that information.

7-8 [redacted] b6 b7C

Month/Year Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank
#1 Dec/96 To Present	4	Federal Government	Assistant to the President for National Security Affairs (APNSA)

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
The White House	Washington	DC	20504	(202)456-9481
Street Address of Job Location (if different than Employer's Address)	**City (Country)**	**State**	**ZIP Code**	**Telephone Number**
1600 Pennsylvania Ave				
Supervisor's Name & Street Address (if different than Job Location)	**City (Country)**	**State**	**ZIP Code**	**Telephone Number**

WHO

PREVIOUS PERIODS OF ACTIVITY (Block #1)

Month/Year Month/Year	Position Title	Supervisor
Jan/93 To Dec/96	Deputy Assistant to the President for National	
To	Security Affairs (DAPNSA)	
To		

Month/Year Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank
#2 Jan/93 To Feb/89	6	Hogan & Hartson Law Firm	Parner (83-93)

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
555 13th Street. N.W.	Washington	DC	20004	(202)637-5600
Street Address of Job Location (if different than Employer's Address)	**City (Country)**	**State**	**ZIP Code**	**Telephone Number**
Supervisor's Name & Street Address (if different than Job Location)	**City (Country)**	**State**	**ZIP Code**	**Telephone Number**

PREVIOUS PERIODS OF ACTIVITY (Block #2)

Month/Year Month/Year	Position Title	Supervisor
Jan/73 To Aug/77	Associate [redacted]	
To		
To		

b6 b7C

Month/Year Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank
#3 Aug/77 To Jan/81	4	U.S. Department of State	Deputy Dir. Policy Planning

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
23rd/C Street N.W.	Washington	DC	20520	(
Street Address of Job Location (if different than Employer's Address)	**City (Country)**	**State**	**ZIP Code**	**Telephone Number**
Supervisor's Name & Street Address (if different than Job Location)	**City (Country)**	**State**	**ZIP Code**	**Telephone Number**
				(

PREVIOUS PERIODS OF ACTIVITY (Block #3)

Month/Year Month/Year	Position Title	Supervisor
To		
To		
To		

Enter your Social Security Number before going to the next page → 122-38-9468

YOUR EMPLOYMENT ACTIVITIES (CONTINUED)

Month/Year Month/Year To	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank

#4

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number

PREVIOUS PERIODS OF ACTIVITY (Block #4)

Month/Year Month/Year To	Position Title	Supervisor
Month/Year Month/Year To	Position Title	Supervisor
Month/Year Month/Year To	Position Title	Supervisor

#5

Month/Year Month/Year To	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number

PREVIOUS PERIODS OF ACTIVITY (Block #5)

Month/Year Month/Year To	Position Title	Supervisor
Month/Year Month/Year To	Position Title	Supervisor
Month/Year Month/Year To	Position Title	Supervisor

#6

Month/Year Month/Year To	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number

PREVIOUS PERIODS OF ACTIVITY (Block #6)

Month/Year Month/Year To	Position Title	Supervisor
Month/Year Month/Year To	Position Title	Supervisor
Month/Year Month/Year To	Position Title	Supervisor

12 PEOPLE WHO KNOW YOU WELL

List three people who know you well and live in the United States. They should be good friends, peers, colleagues, college roommates, etc., whose combined association with you covers as well as possible the last 7 years. Do not list your spouse, former spouses, or other relatives, and try not to list anyone who is listed elsewhere on this form.

Name	Dates Known Month/Year Month/Year	Telephone Number	
#1 Mr. Eli Segal	Jan/73 To Feb/99	(✓) Day ( ) Night	(202) 955-3005 x 307
Home or Work Address: 2315 Bancroft Place	City (Country): Washington	State: DC	Zip Code: 20008
#2			
Home or Work Address	City (Country)	State	Zip Code
#3			
Home or Work Address	City (Country)	State	Zip Code

b6
b7C

Enter your Social Security Number before going to the next page → 122-38-9468

15 CITIZENSHIP OF YOUR RELATIVES AND ASSOCIATES

If your mother, father, sister, brother, child, or current spouse or person with whom you have a spouse-like relationship is a U.S. citizen by other than birth, or an alien residing in the U.S., provide the nature of the individual's relationship to you (Spouse, Spouse-like, Mother, etc.), and the individual's name and date of birth on the first line *(this information is needed to pair it accurately with information in items 13 and 14)*.

On the senond line, provide the individual's naturalization certificate or alien registration number and use one of the document codes below to identify proof of citizenship status. Provide additional information on that line as requested.

1. **Naturalization Certificate:** Provide the date issued and the location where the person was naturalized (Court, City and State).
2. **Citizenship Certificate:** Provide the date and location issued (City and State).
3. **Alien Registration:** Provide the date and place where the person entered the U.S. (City and State).
4. **Other:** Provide an explanation in the "Additional Information" block.

Association #1 No changes since 2/93	Name	Date of Birth (Month/Day/Year)
Certificate/Registration #	Document Code / Additional Information	
Association #2	Name	Date of Birth (Month/Day/Year)
Certificate/Registration #	Document Code / Additional Information	

16 YOUR MILITARY HISTORY

	Yes	No
a Have you served in the United States military?	X	
b Have you served in the United States Merchant Marine?		X

List all of your military service below, including service in Reserve, National Guard, and U.S. Merchant Marine. Start with the most recent period of service (#1) and work backward. If you had a break in service, each separate period should be listed.

- **Code.** Use one of the codes listed below to identify your branch of service:
  1 - Air Force 2 - Army 3 - Navy 4 - Marine Corps 5 - Coast Guard 6 - Merchant Marine 7 - National Guard
- **O/E.** Mark "O" block for Officer or "E" block for Enlisted.
- **Status.** "X" the appropriate block for the status of your service during the time that you served. If your service was in the National Guard, do not use an "X": use the two-letter code for the state to mark the block.
- **Country.** If your service was with other than U.S. Armed Forces, identify the country for which you served.

Month/Year Month/Year	Code	Service/Certificate #	O	E	Status: Active	Active Reserve	Inactive Reserve	National Guard (State)	Country
Jan/68 To Jan/74	2	US ARMY/not aval.		X	X	X			USA
To									

17 YOUR FOREIGN ACTIVITIES

	Yes	No
a Do you have any foreign property, business connections, or financial interests?		X
b Are you now or have you ever been employed by or acted as a consultant for a foreign government, firm, or agency?	X	
c Have you ever had any contact with a foreign government, its establishments (embassies or consulates), or its representatives, whether inside or outside the U.S., other than on official U.S. Government business? (Does not include routine visa applications and border crossing contacts.)	X	
d In the last 7 years, have you had an active passport that was issued by a foreign government?		X

If you answered "Yes" to a, b, c, or d above, explain in the space below: provide inclusive dates, names of firms and/or governments involved, and an explanation of your involvement.

Month/Year Month/Year	Firm and/or Government	Explanation
To		same as last investigation 2/93 X
Month/Year Month/Year	Firm and/or Government	Explanation
To		

17 FOREIGN COUNTRIES YOU HAVE VISITED

List foreign countries you have visited, except on travel under official Government orders, beginning with the most current (#1) and working back 7 years. (Travel as a dependent or contractor must be listed.)

- Use one of these codes to indicate the purpose of your visit: 1 - Business 2 - Pleasure 3 - Education 4 - Other
- Include short trips to Canada or Mexico. If you have lived near a border and have made short (one day or less) trips to the neighboring country, you do not need to list each trip. Instead, provide the time period, the code, the country, and a note ("Many Short Trips").
- Do not repeat travel covered in items 9, 10, or 11.

Month/Year Month/Year	Code	Country	Month/Year Month/Year	Code	Country
#1 Mar/98 To Mar/98	2	England	#3 To		
#2 Jun/96 To Jun/96	2	Italy	#4 To		

This concludes Part 1 of this form. If you have used Page 9, continuation sheets, or blank sheets to complete any of the questions in Part 1, give the number for those questions in the space to the right:

Enter your Social Security Number before going to the next page → 122-38-9468

Standard Form 86
Revised September 1995
U.S. Office of Personnel Management
5 CFR Parts 731, 732, and 736

QUESTIONNAIRE FOR NATIONAL SECURITY POSITIONS

Form approved:
O.M.B. No 3206-0007
NSN 7540-00-634-4036
86-111

Part 2 ~~OFFICIAL USE ONLY~~

19 YOUR MILITARY RECORD

Have you ever received other than an honorable discharge from the military? If "Yes," provide the date of discharge and type of discharge below.

	Yes	No
		X

Month/Year	Type of Discharge

20 YOUR SELECTIVE SERVICE RECORD

	Yes	No
a Are you a male born after December 31, 1959? If "No," go to 21. If "Yes," go to b.		X
b Have you registered with the Selective Service System? If "Yes," provide your registration number. If "No," show the reason for your legal exemption below.		

Registration Number	Legal Exemption Explanation

21 YOUR MEDICAL RECORD

	Yes	No
In the last 7 years, have you consulted with a mental health professional (psychiatrist, psychologist, counselor, etc.) or have you consulted with another health care provider about a mental health related condition?		X

If you answered "Yes", provide the dates of treatment and the name and address of the therapist or doctor below, unless the consultation(s) involved only marital, family, or grief counseling, not relating to violence by you.

Month/Year	Month/Year	Name/Address of Therapist or Doctor	State	Zip Code
	To			
	To			

22 YOUR EMPLOYMENT RECORD

	Yes	No
Has any of the following happened to you in the last 7 years? If "Yes," begin with the most recent occurrence and go backward, providing date fired, quit, or left, and other information requested.		X

Use the following codes and explain the reason your employment was ended:
1 - Fired from a job
2 - Quit a job after being told you'd be fired
3 - Left a job by mutual agreement following allegations of misconduct
4 - Left a job by mutual agreement following allegations of unsatisfactory performance
5 - Left a job for other reasons under favorable circumstances

Month/Year	Code	Specify Reason	Employer's Name and Address *(Include city/Country if outside U.S.)*	State	Zip Code

23 YOUR POLICE RECORD

	Yes	No
For this item, report information regardless of whether the record in your case has been "sealed" or otherwise stricken from the court record. The single exception to this requirement is for certain convictions under the Federal Controlled Substances Act for which the court issued an expungement order under the authority of 21 U.S.C. 844 or 18 U.S.C. 3607.		X
a Have you ever been charged with or convicted of any felony offense? (Include those under Uniform Code of Military Justice)		X
b Have you ever been charged with or convicted of a firearms or explosives offense?		X
c Are there currently any charges pending against you for any criminal offense?		X
d Have you ever been charged with or convicted of any offense(s) related to alcohol or drugs?		X
e In the last 7 years, have you been subject to court martial or other disciplinary proceedings under the Uniform Code of Military Justice? (Include non-judicial, Captain's mast, etc.)		X
f In the last 7 years, have you been arrested for, charged with, or convicted of any offense(s) not listed in response to a, b, c, d, or e above? (Leave out traffic fines of less than $150 unless the violation was alcohol or drug related.)		X

If you answered "Yes" to a, b, c, d, e, or f above, explain below. Under "Offense", do not list specific penalty codes, list the actual offense or violation (for example, arson, theft, etc.)

Month/Year	Offense	Action Taken	Law Enforcement Authority/Court *(Include City and county/country if outside U.S.)*	State	Zip Code

Enter your Social Security Number before going to the next page → 122-38-9468

24 YOUR USE OF ILLEGAL DRUGS AND DRUG ACTIVITY

The following questions pertain to the illegal use of drugs or drug activity. You are required to answer the questions fully and truthfully, and your failure to do so could be grounds for an adverse employment decision or action against you, but neither your truthful responses nor information derived from your responses will be used as evidence against you in any subsequent criminal proceeding.

	Yes	No
a Since the age of 16 or in the last 7 years, whichever is shorter, have you illegally used any controlled substance, for example, marijuana, cocaine, crack cocaine, hashish, narcotics (opium, morphine, codeine, heroin, etc.), amphetamines, depressants (barbiturates, methaqualone, tranquilizers, etc.), hallucinogenics (LSD, PCP, etc.), or prescription drugs?		X
b Have you ever illegally used a controlled substance while employed as a law enforcement officer, prosecutor, or courtroom official; while possessing a security clearance; or while in a position directly and immediately affecting the public safety?		X
c In the last 7 years, have you been involved in the illegal purchase, manufacture, trafficking, production, transfer, shipping, receiving, or sale of any narcotic, depressant, stimulant, hallucinogen, or cannabis for your own intended profit or that of another?		X

If you answered "Yes" to a or b above, provide the date(s), identify the controlled substance(s) and/or prescription drugs used, and the number of times each was used.

Month/Year To Month/Year	Controlled Substances/Prescription Drug Used	Number of Times Used
To		
To		

25 YOUR USE OF ALCOHOL

	Yes	No
In the last 7 years, has your use of alcohol beverages (such as liquor, beer, wine) resulted in any alcohol-related treatment or counseling (such as for alcohol abuse or alcoholism?)		X

If you answered "Yes", provide the dates of treatment and the name and address of the counselor or doctor below. Do not repeat information reported in response to item 21 above.

Month/Year To Month/Year	Name/Address of Counselor or Doctor	State	Zip Code
To			
To			

26 YOUR INVESTIGATIONS RECORD

	Yes	No
a Has the United States Government ever investigated your background and/or granted you a security clearance? If "Yes," use the codes that follow to provide the requested information below. If "Yes," but you can't recall the investigating agency and/or the security clearance received, enter "Other" agency code or clearance code, as appropriate, and "Don't know" or "Don't recall" under the "Other Agency" heading, below. If your response is "No," or you don't know or can't recall if you were investigated and cleared, check the "No" box.	X	

Codes for Investigating Agency
1 - Defense Department
2 - State Department
3 - Office of Personnel Management
4 - FBI
5 - Treasury Department
6 - Other *(Specify)*

Codes for Security Clearance Received
0 - Not Required
1 - Confidential
2 - Secret
3 - Top Secret
4 - Sensitive Compartmented Information
5 - Q
6 - L
7 - Other

Month/Year	Agency Code	Other Agency	Clearance Code	Month/Year	Agency Code	Other Agency	Clearance Code
Feb/93	4	—— ✓	4				
—							

b To your knowledge, have you ever had a clearance or access authorization denied, suspended, or revoked, or have you ever been debarred from government employment? If "Yes," give date of action and agency. Note: An administrative downgrade or termination of a security clearance is not a revocation.

Month/Year	Department or Agency Taking Action	Month/Year	Department or Agency Taking Action

27 YOUR FINANCIAL RECORD

	Yes	No
a In the last 7 years, have you filed a petition under any chapter of the bankruptcy code (to include Chapter 13)?		X
b In the last 7 years, have you had your wages garnished or had any property repossessed for any reason?		X
c In the last 7 years, have you had a lien placed against your property for failing to pay taxes or other debts?		X
d In the last 7 years, have you had any judgments against you that have not been paid?		X

If you answered "Yes" to a, b, c, or d, provide the information requested below:

Month/Year	Type of Action	Amount	Name Action Occurred Under	Name/Address of Court or Agency Handling Case	State	Zip Code

Enter your Social Security Number before going to the next page → 122-38-9468

28 YOUR FINANCIAL DELINQUENCIES

	Yes	No
a In the last 7 years, have you been over 180 days delinquent on any debt(s)?		X
b Are you currently over 90 days delinquent on any debt(s)?		X

If you answered "Yes" to a or b, provide the information requested below:

Incurred Month/Year	Satisfied Month/Year	Amount	Type of Loan or Obligation and Account Number	Name/Address of Creditor or Obligee	State	Zip Code

29 PUBLIC RECORD CIVIL COURT ACTIONS

	Yes	No
In the last 7 years, have you been a party to any public record civil court actions not listed elsewhere on this form?		X

If you answered "Yes", provide the information about the public record civil court action requested below.

Month/Year	Nature of Action	Result of Action	Name of Parties Involved	Court *(include City and county/country if outside U.S.)*	State	Zip Code

30 YOUR ASSOCIATION RECORD

	Yes	No
a Have you ever been an officer or a member or made a contribution to an organization dedicated to the violent overthrow of the United States Government and which engages in illegal activities to that end, knowing that the organization engages in such activities with the specific intent to further such activities?		X
b Have you ever knowingly engaged in any acts or activities designed to overthrow the United States Government by force?		X

If you answered "Yes" to a or b, explain in the space below.

Continuation Space

Use the continuation sheet(s) (SF 86A) for additional answers to items 9,10, and 11. Use the space below to continue answers to all other items and any information you would like to add. If more space is needed than is provided below, use the blank sheet(s) of paper. Start each sheet with your name and Social Security Number. Before each answer, identify the number of the item.

After completing Parts 1 and 2 of this form and any attachments, you should review your answers to all questions to make sure the form is complete and accurate, and then sign and date the following certification and sign and date the release on page 10.

Certification That My Answers Are True

My statements on this form, and any attachments to it, are true, complete, and correct to the best of my knowledge and belief and are made in good faith. I understand that a knowing and willful false statement on this form can be punished by fine or imprisonment or both. (See section 1001 of title 18, United States Code).

Signature *(Sign in ink)*	Date
Samuel R. Berger	5/2/99

Enter your Social Security Number before going to the next page → 122-38-9468

THE WHITE HOUSE

WASHINGTON

PRIVACY ACT PROTECTED INFORMATION
(When Completed)

Disclosure and Authorization
Pertaining to Consumer Reports
Pursuant to the Fair Credit Reporting Act

This is a release for the Federal Bureau of Investigation and/or the Office of Counsel to the President, acting on the President's behalf, to obtain one or more consumer/credit reports about you in connection with consideration of your appointment to a position within the Executive Branch, or in the course of your employment with the Federal Government. One or more reports about you may be obtained for employment purposes, including evaluating your fitness for employment, promotion, reassignment, retention, or access to classified information.

I, Samuel Richard Berger, hereby authorize the Federal Bureau of Investigation and/or the Office of Counsel to the President, acting on the President's behalf, to obtain such reports from any consumer/credit reporting agency for employment purposes.

Samuel R Berger
Signature

January 10, 1999
Date

122-38-9468
Social Security Number

Oct. 97

REQUEST FOR INDICES SEARCH

file attached

CFR

BUDED 6-2-99

DATE SENT TO INDICES 4-5-99

APPOINTEE Samuel Richard Berger

CASE NUMBER 161F-HQ-1043720

NUMBER OF NAMES TO BE SEARCHED 6/3

SEARCH and REVIEW all names that are underlined.

DO NOT REVIEW 241's, 161's, 116's, 77's and 67's.

	DATE SEARCHED	SEARCHED BY	NEG/POS
ELECTRONIC	6-1-99		POS
GENERAL	6-1-99		POS
CFR			

FORWARD TO FILE REVIEW ANY POSITIVE HITS.

b6
b7C

FILES WERE REVIEWED ON 6-8-99 BY

CFR FILES WERE REVIEWED ON 6/10/99 BY

RETURN RESULTS TO SQUAD A-1
PSS

SEARCHED INDEXED
SERIALIZED FILED
APR 7 1999
FBI - WASHINGTON FIELD

Standard Form 86
Revised September 1995
U.S. Office of Personnel Management
5 CFR Parts 731, 732, and 736

QUESTIONNAIRE FOR NATIONAL SECURITY POSITIONS

2/93

Form approved:
O.M.B. No 3206-0007
NSN 7540-00-634-4036
86-111

Part 1

Investigating Agency Use Only	Codes	Case Number

Agency Use Only (Complete items A through P using instructions provided by the investigating agency).

A Type of Investigation	B Extra Coverage	C Sensitivity Level	D Access	E Nature of Action Code	F Date of Action (Month/Day/Year)

G Geographic Location	H Position Code	I Position Title

J SON	K Location of Official Personnel Folder	L SOI	M Location of Security Folder
	☐ None ☐ NPRC ☐ At SON — Other Address:		☐ None ☑ At SOI ☐ NPI — Other Address:
	Zip Code		Zip Code

N OPAC-ALC Number	O Accounting Data and/or Agency Case Number

P Requesting Official	Name and Title	Signature	Telephone Number	Date

Persons completing this form should begin with the questions below.

1 FULL NAME · If you have only initials in your name, use them and state (IO) · If you have no middle name, enter "NMN." · If you are a "Jr.," "Sr.," "II", enter this in the box after your middle name.

2 DATE OF BIRTH

Last Name	First Name	Middle Name	Jr., II, etc.	Month/Day/Year
Berger	Samuel	Richard		10/28/45

3 PLACE OF BIRTH · Use the two letter code for the State.

4 SOCIAL SECURITY NUMBER

City	County	State	Country (if not in the United States)	
Sharon	Litchfield	CT		122-38-9468

5 OTHER NAMES USED
Give other names you used and the period of time you used them *(for example: your maiden name, name[s] by a former marriage, former name[s], alias[es], or nickname[s])*. If the other name is your maiden name, put "nee" in front of it.

	Name	Month/Year Month/Year		Name	Month/Year Month/Year
#1	"Sandy" Berger	Oct/45 To Jan/99	#3		To
#2		To	#4		To

b6
b7C

6 OTHER IDENTIFYING INFORMATION

Height (feet and inches)	Weight (pounds)	Hair Color	Eye Color	Sex (mark one box)
5'8"	185	Grey	Blue	☐ Female ☒ Male

7 TELEPHONE NUMBERS

Work (include Area Code and extension)	Home (include Area Code)
( ) Day	( ) Day
( ) Night (202)456-9481	( ) Night (202)363-8070

8 CITIZENSHIP
a Mark the box at the right that reflects your current citizenship status, and follow its instructions.

- ☒ I am a U.S. citizen or national by birth in the U.S. or U.S. territory/possession → Answer items b and d
- ☐ I am a U.S. citizen, but I was NOT born in the U.S. → Answer items b, c, and d
- ☐ I am not a U.S. citizen. → Answer items b and e

b Your Mother's Maiden Name: Lehrman

c **UNITED STATES CITIZENSHIP** If you are a U.S. Citizen, but were not born in the U.S., provide information about one or more of the following proofs of your citizenship.

Naturalization Certificate *(Where were you naturalized?)*

Court	City	State	Certificate Number	Month/Day/Year Issued
N/A				

Citizenship Certificate *(Where was the certificate issued?)*

City	State	Certificate Number	Month/Day/Year Issued

State Department Form 240 - Report of Birth Abroad of a Citizen of the United States

Give the date the form was prepared and give an explanation if needed.	Month/Day/Year	Explanation

U.S. Passport

This may be either a current or previous U.S. Passport	Passport Number	Month/Day/Year Issued
	160083080	03/03/98

d **DUAL CITIZENSHIP** If you are (or were) a dual citizen of the United States and another country, provide the name of that country in the space to the right. Country: N/A

e **ALIEN** If you are an alien, provide the following information:

Place You Entered the United States:	City	State	Date You Entered U.S. Month/Day/Year	Alien Registration Number	Country(ies) of Citizenship
	N/A				

13 YOUR SPOUSE

Mark one box to show your current marital status and provide information about your spouse(s) in items a, and/or b.

☐ 1 - Never married ☒ 2 - Married ☐ 3 - Separated ☐ 4 - Legally Separated ☐ 5 - Divorced ☐ 6 - Widowed

a Current Spouse Complete the following about your current spouse.

Full Name	Date of Birth	Place of Birth *(Include country if outside the U.S.)*	Social Security Number
No change since last investigation 2/93			b6
Other Names Used *(Specify maiden name, names by other marriages, etc. and show dates used for each name)*			Country(ies) of Citizenship b7C
Da		e country if outside the U.S.)	State
If Separated, Date of Separation		If Legally Separated, Where is the Record Located? City *(Country)*	State
Address of Current Spouse, if different than your current address *(Street, city, and country if outside the U.S.)*			State / Zip Code

WFO

b Former Spouse(s) Complete the following about your former spouse(s), use blank sheets if needed.

Full Name	Date of Birth	Place of Birth *(Include country if outside the U.S.)*	State
Country(ies) of Citizenship	Date Married	Place Married *(Include country if outside the U.S.)*	State
Check One, Then Give Date ☐ Divorced ☐ Widowed	Month/Day/Year	If Divorced, Where is the Record Located? City *(Country)*	State
Address of Former Spouse *(Street, city, and country if outside the U.S.)*	State	Zip Code	Telephone Number

14 YOUR RELATIVES AND ASSOCIATES

Give full name, correct code, and other requested information for each of your relatives and associates, living or dead, specified below.

1 - Mother *(first)* 2 - Father *(second)* 3 - Stepmother 4 - Stepfather 5 - Foster parent 6 - Child *(adopted also)* 7 - Stepchild 8 - Brother 9 - Sister 10 - Stepbrother 11 - Stepsister 12 - Half-brother 13 - Half-sister 14 - Father-in-law 15 - Mother-in-law 16 - Guardian 17 - Other Relative* 18 - Associate* 19 - Adult Currently Living With You

*Code 17 (Other Relative)-include only foreign national relatives not listed in 1-16 with whom you or your spouse are bound by affection, obligation, or close and continuing contact. Code 18 (Associates)-include only foreign national associates with whom you or your spouse are bound by affection, obligation, or close and continuing contact.

Full Name (if deceased, check box on the left before entering name)	Code	Date of Birth Month/Day/Year	Country of Birth	Country(ies) of Citizenship	Current Street Address and City *(country)* of Living Relatives	State
☐ Only changes to last investigation listed below	1					
☐ Louis Laufer (deceased)	2			X		
☐ Zelda Harrison (new address				X	1953 N. Honore Ave Sarasota, Fla 34235	b6 b7C
☐						
☐						
☐						
☐						
☐						
☐						
☐						
☐						
☐						
☐						

INDICES ONLY

Enter your Social Security Number before going to the next page → 122-38-9468

24 YOUR USE OF ILLEGAL DRUGS AND DRUG ACTIVITY

The following questions pertain to the illegal use of drugs or drug activity. You are required to answer the questions fully and truthfully, and your failure to do so could be grounds for an adverse employment decision or action against you, but neither your truthful responses nor information derived from your responses will be used as evidence against you in any subsequent criminal proceeding.

	Yes	No
a Since the age of 16 or in the last 7 years, whichever is shorter, have you illegally used any controlled substance, for example, marijuana, cocaine, crack cocaine, hashish, narcotics (opium, morphine, codeine, heroin, etc.), amphetamines, depressants (barbiturates, methaqualone, tranquilizers, etc.), hallucinogenics (LSD, PCP, etc,), or prescription drugs?		X
b Have you ever illegally used a controlled substance while employed as a law enforcement officer, prosecutor, or courtroom official; while possessing a security clearance; or while in a position directly and immediately affecting the public safety?		X
c In the last 7 years, have you been involved in the illegal purchase, manufacture, trafficking, production, transfer, shipping, receiving, or sale of any narcotic, depressant, stimulant, hallucinogen, or cannabis for your own intended profit or that of another?		X

If you answered "Yes" to a or b above, provide the date(s), identify the controlled substance(s) and/or prescription drugs used, and the number of times each was used.

Month/Year To Month/Year	Controlled Substances/Prescription Drug Used	Number of Times Used
To		
To		

25 YOUR USE OF ALCOHOL

	Yes	No
In the last 7 years, has your use of alcohol beverages (such as liquor, beer, wine) resulted in any alcohol-related treatment or counseling (such as for alcohol abuse or alcoholism?)		X

If you answered "Yes", provide the dates of treatment and the name and address of the counselor or doctor below. Do not repeat information reported in response to item 21 above.

Month/Year To Month/Year	Name/Address of Counselor or Doctor	State	Zip Code
To			
To			

26 YOUR INVESTIGATIONS RECORD

	Yes	No
a Has the United States Government ever investigated your background and/or granted you a security clearance? If "Yes," use the codes that follow to provide the requested information below. If "Yes," but you can't recall the investigating agency and/or the security clearance received, enter "Other" agency code or clearance code, as appropriate, and "Don't know" or "Don't recall" under the "Other Agency" heading, below. If your response is "No," or you don't know or can't recall if you were investigated and cleared, check the "No" box.	X	

Codes for Investigating Agency
1 - Defense Department
2 - State Department
3 - Office of Personnel Management
4 - FBI
5 - Treasury Department
6 - Other *(Specify)*

Codes for Security Clearance Received
0 - Not Required
1 - Confidential
2 - Secret
3 - Top Secret
4 - Sensitive Compartmented Information
5 - Q
6 - L
7 - Other

Month/Year	Agency Code	Other Agency	Clearance Code	Month/Year	Agency Code	Other Agency	Clearance Code
Feb/93	4	—— ✓	4				
—							

b To your knowledge, have you ever had a clearance or access authorization denied, suspended, or revoked, or have you ever been debarred from government employment? If "Yes," give date of action and agency. Note: An administrative downgrade or termination of a security clearance is not a revocation.

Month/Year	Department or Agency Taking Action	Month/Year	Department or Agency Taking Action

27 YOUR FINANCIAL RECORD

	Yes	No
a In the last 7 years, have you filed a petition under any chapter of the bankruptcy code (to include Chapter 13)?		X
b In the last 7 years, have you had your wages garnished or had any property repossessed for any reason?		X
c In the last 7 years, have you had a lien placed against your property for failing to pay taxes or other debts?		X
d In the last 7 years, have you had any judgments against you that have not been paid?		X

If you answered "Yes" to a, b, c, or d, provide the information requested below:

Month/Year	Type of Action	Amount	Name Action Occurred Under	Name/Address of Court or Agency Handling Case	State	Zip Code

Enter your Social Security Number before going to the next page → 122-38-9468

28 YOUR FINANCIAL DELINQUENCIES

	Yes	No
a In the last 7 years, have you been over 180 days delinquent on any debt(s)?		X
b Are you currently over 90 days delinquent on any debt(s)?		X

If you answered "Yes" to a or b, provide the information requested below:

Incurred Month/Year	Satisfied Month/Year	Amount	Type of Loan or Obligation and Account Number	Name/Address of Creditor or Obligee	State	Zip Code

29 PUBLIC RECORD CIVIL COURT ACTIONS

	Yes	No
In the last 7 years, have you been a party to any public record civil court actions not listed elsewhere on this form?		X

If you answered "Yes", provide the information about the public record civil court action requested below.

Month/Year	Nature of Action	Result of Action	Name of Parties Involved	Court *(Include City and county/country if outside U.S.)*	State	Zip Code

30 YOUR ASSOCIATION RECORD

	Yes	No
a Have you ever been an officer or a member or made a contribution to an organization dedicated to the violent overthrow of the United States Government and which engages in illegal activities to that end, knowing that the organization engages in such activities with the specific intent to further such activities?		X
b Have you ever knowingly engaged in any acts or activities designed to overthrow the United States Government by force?		X

If you answered "Yes" to a or b, explain in the space below.

Continuation Space

Use the continuation sheet(s) (SF 86A) for additional answers to items 9,10, and 11. Use the space below to continue answers to all other items and any information you would like to add. If more space is needed than is provided below, use the blank sheet(s) of paper. Start each sheet with your name and Social Security Number. Before each answer, identify the number of the item.

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Signature *(Sign in ink)*	Date
Samuel R. Berger	5/2/99

Enter your Social Security Number before going to the next page → 122-38-9468

06/01/99 View Full Response UNI040M2
11:39:32 ~~SECRET~~ Page 1 of 3
Press desired program function key or Enter.

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 11-04-2025 BY: [redacted] b6 b7C

Name : BERGER, SAMUEL, R
DDN :

Name No . . . : 1 Rec No : 1
Race . . . . . : U Sex . . : M
Case ID . . . : [redacted] b3 b7E
Character . . : [redacted]
Main/Ref . . : R
Serial . . . : 9P1;
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . :
Locality. . . :

Unable to locate file

~~SECRET~~

Command . . > UTL . . . . . +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

Aliases exist
06/01/99 View Full Response UNI040M2
11:39:08 Page 1 of 3
Press desired program function key or Enter.

Name : BERGER, SAMUEL, RICHARD
DDN :

Name No . . . : 1 Rec No : 1
Race . . . . . : W Sex . : M
Case ID . . . : 161F-HQ-1043770
Character . . : SPIN
Main/Ref . . : M
Serial . . . :
Document Date :
Event Date. . :
DOB . . . . . : 10/28/1945
POB . . . . . : SHARON CT
ID Info . . . : SOC 122-38-9468 *
Locality. . . : CT DC MA NY ENG ITAL

"No need to Review"

Command . . > ..... +
F1=Help F3=Exit F4=Prompt F6=Multv F11=NextPg F12=Cancel F13=ViewSerial
F14=AddAKA F15=ViewAKA F21=ViewCase

BERGER, SAMUEL (AMBASSADOR) 4/69

NO IDENT DATA

b3
b6
b7C
b7E

Not enough information in file to ident. or not ident.

NEI

BERGER, SAMUEL

No data

FEB 1968

66-779-Sub-G-130B

Not enough information in file to ident. or not ident.

NEI

BERGER, SAMUEL 9/68 66-779-Sub-G-173

No data

IS-R

Not enough information in file to ident. or not ident.

b3
b7E

NEI

no data

12/69 100-49753-1283

Not enough information in file to ident. or not ident.

NEI

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 4-8-96 BY

BERGER, SAMUEL

JAN 1967

Not enough information in file to ident. or not ident.

CFR

BERGER, SAMUEL
U.S. Ambassador

JAN 1963
MAR' 63

Not enough information in file to ident. or not ident.

NEI

71

Not enough information in file to ident. or not ident.

CFR

BERGER, SAMUEL RICHARD 3/76

b3
b6
b7C
b7E

No Ident Data

Not enough information in file to ident. or not ident.

reclassified into NEI

11/80

Not enough information in file to ident. or not ident.

NEI

AT JOHN HOPKINS, TELEPHONE#785-6227.

4/84

Unable to locate file

Volumes 1 + 2 not in file

06/01/99 View Full Response UNI040M2
11:37:53 ~~SECRET~~ Page 1 of 3
Press desired program function key or Enter.

Name : BERGER, SANDY
DDN :

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 11-04-2025 BY: [redacted] b6 b7C

Name No . . . : 1 Rec No : 1
Race . . . . . : U Sex . : F
Case ID . . . : [redacted] b3 b7E
Character . . : [redacted]
Main/Ref . . : R
Serial . . . : 1255P2; WF
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . : Not Ident.
Locality. . . :

ACS: Sex is female ~~SECRET~~

Command . . > ..... +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

06/01/99 View Full Response UNI040M2
11:38:08 ~~SECRET~~ Page 1 of 3
Press desired program function key or Enter.

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 11-04-2025 BY: [redacted] b6 b7C

Name : BERGER, SANDY
DDN :

Name No . . . : 1 Rec No : 1
Race . . . . . : U Sex . : F
Case ID . . . : [redacted] b3 b7E
Character . . : [redacted]
Main/Ref . . : R
Serial . . . : 271P2; WF
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . : Not Ident
Locality. . . :

ACS Sex is female ~~SECRET~~

Command . . > ..... +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

06/01/99 View Full Response UNI040M2
11:39:31 ~~SECRET~~ Page 1 of 3
Press desired program function key or Enter.

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 11-04-2025 BY: [redacted] b6 b7C

Name : BERGER, SAMUEL, R
DDN : SANDY

Name No . . . : 1 Rec No : 1
Race . . . . : U Sex . : M
Case ID . . . : [redacted] b3 b7E
Character . . : [redacted]
Main/Ref . . : R
Serial . . . : 31; WF
Document Date :
Event Date. . : Ident./possible ident.
DOB . . . . . : ~~See attached communication(s)~~
POB . . . . . :
ID Info . . . :
Locality. . . :

~~SECRET~~

Command . . > No derogatory information ..... +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

06/01/99 View Full Response UNI040M2
11:37:56 ~~SECRET~~ Page 1 of 3
Press desired program function key or Enter.

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 11-04-2025 BY: [redacted] b6 b7C

Name : BERGER, SANDY
DDN :

Name No . . . : 1 Rec No : 1
Race . . . . . : U Sex . : U
Case ID . . . : [redacted] b3 b7E
Character . . : [redacted]
Main/Ref . . : R
Serial . . . : 35 HQ
Document Date : 11/12/1993
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . : Unable to locate file
Locality. . . :

~~SECRET~~ UR

Command . . > ..... +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

Press desired program function key or Enter.

Name : BERGER, SANDY
DDN :

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 11-04-2025 BY: [redacted] b6 b7C

Name No . . . : 1 Rec No : 1
Race . . . . : U Sex . : U
Case ID . . . : [redacted] b3 b7E
Character . . : ECI
Main/Ref . . : R
Serial . . . : 402P1
Document Date : 05/21/1997 Unable to locate file
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . : 6-3-99 requested serial
Locality. . . :

~~SECRET~~
Command . . > All Volumes (except Sub57) are charged +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase out to [redacted] (5-7-99) b6 b7C

per
6-8-99 [redacted] via UTL

06/01/99 View Full Response UNI040M2
11:38:14 ~~SECRET~~ Page 1 of 3
Press desired program function key or Enter.

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 11-04-2025 BY: [redacted] b6 b7C

Name : BERGER, SANDY
DDN :

Name No . . . : 1 Rec No : 1
Race . . . . : U Sex . : U
Case ID . . . : [redacted] b3 b7E
Character . . : ECI
Main/Ref . . : R
Serial . . . : 38P3492;
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . :
Locality. . . :

Pending NS-23

Unable to locate file

~~SECRET~~

Command . . > 6-2-99 requested Denial/6-2-99 IMA : UR . . . . . +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

06/01/99 View Full Response UNI040M2
11:38:10 ~~SECRET~~ Page 1 of 3
Press desired program function key or Enter.

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 11-04-2025 BY: [redacted] b6 b7C

Name : BERGER, SANDY
DDN :

Name No . . . : 2 Rec No : 1
Race . . . . . : U Sex . : U
Case ID . . . : [redacted] b3 b7E
Character . . : ECI
Main/Ref . . : R
Serial . . . : 39;315P4023; WF
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . :
Locality. . . :

pending NS-23

Unable to locate file

~~SECRET~~

Command . . > 6-2-99 requested serial / 6-2-99 IMA: UR . . . . . +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

Press desired program function key or Enter.

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 11-04-2025 BY: [redacted] b6 b7C

Name : BERGER, SAMUEL
DDN :

Name No . . . : 1 Rec No : 1
Race . . . . . : U Sex . : M
Case ID . . . : [redacted] b3 b7E
Character . . : [redacted]
Main/Ref . . : R
Serial . . . : 54P5;
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . :
Locality. . . :

pending NS-28

Command . . > 6-2-99 requested ~~SECRET~~ serial / 6-8-99 No response from FBIHQ
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

06/01/99 View Full Response UNI040M2
11:39:59 ~~SECRET~~ Page 1 of 3
Press desired program function key or Enter.

Name : BERGER, SAMUEL
DDN :

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 11-04-2025 BY: [redacted] b6 b7C

Name No . . . : 1 Rec No : 1
Race . . . . . : U Sex . : U
Case ID . . . : [redacted] b3 b7E
Character . . : [redacted]
Main/Ref . . : R
Serial . . . : 61P2;
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . : Unable to locate file
Locality. . . :

~~SECRET~~
Command . . > Main not in file ..... +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

.Aliases exist
06/01/99 View Full Response UNI040M2
11:39:13 Page 1 of 3
Press desired program function key or Enter.

A Name : BERGER, SAMUEL, RICHARD
DDN :
True : BERGER, SAMUEL
Name No . . . : 2 Rec No : 1 True Name No : 1 True Rec No : 1
Race . . . . . : U Sex . : M
Case ID . . . : 58A-WF-200802
Character . . : CFPO
Main/Ref . . : M
Serial . . . : 2;11 WF
Document Date :
Event Date. . :
DOB . . . . . : Ident./possible ident.
POB . . . . . : ~~See attached communication(s)~~
ID Info . . . :
Locality. . . :

Command . . > No derogatory information .....+
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F15=ViewAKA F21=ViewCase

Aliases exist
06/01/99 View Full Response UNI040M2
11:39:45 Page 1 of 3
Press desired program function key or Enter.

Name : BERGER, SAMUEL
DDN :

Name No . . . : 1 Rec No : 1
Race . . . . . : U Sex . : M
Case ID . . . : 58A-WF-200802
Character . . : CFPO
Main/Ref . . : M
Serial . . . : 2;11 WF
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . : Ident./possible ident.
ID Info . . . : ~~See attached communication(s)~~
Locality. . . :

Command . . > No derogatory information +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F15=ViewAKA F21=ViewCase

Aliases exist
06/01/99 View Full Response UNI040M2
11:37:39 Page 1 of 3
Press desired program function key or Enter.

A Name : BERGER, SANDY
DDN :
True : BERGER, SAMUEL
Name No . . . : 1 Rec No : 1 True Name No : 1 True Rec No : 1
Race . . . . : U Sex . : M
Case ID . . . : 58A-WF-200802
Character . . : CFPO
Main/Ref . . : M
Serial . . . : 2;11 WF
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . : Ident./possible ident.
ID Info . . . : ~~See attached communication(s)~~
Locality. . . :

Command . . > No derogatory information +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F15=ViewAKA F21=ViewCase

Press desired program function key or Enter.

Name : BERGER, SAMUEL, RICHARD
DDN :

Name No . . . : 1 Rec No : 1
Race . . . . . : W Sex . : M
Case ID . . . : 58A-WF-200802
Character . . : CFPO
Main/Ref . . : R
Serial . . . : 92
Document Date :
Event Date. . :
DOB . . . . . : 10/28/1945
POB . . . . . :
ID Info . . . : SOC 122-38-9468
Locality. . . : DC

Ident./possible ident.
See attached communication(s)

Command . . > ..... +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

06/01/99 View Full Response UNI040M2
11:39:23 ~~SECRET~~ Page 1 of 3
Press desired program function key or Enter.

Name : BERGER, SAMUEL, R
DDN :

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 11-04-2025 BY: [redacted] b6 b7C

Name No . . . : 1 Rec No : 1
Race . . . . . : U Sex . : U
Case ID . . . : [redacted] b3 b7E
Character . . : ECI
Main/Ref . . : M
Serial . . . :
Document Date :
Event Date. . :
DOB . . . . . : Ident./possible ident.
POB . . . . . : See attached communication(s)
ID Info . . . : (FILE)
Locality. . . :

~~SECRET~~

Command . . > ..... +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

Aliases exist
06/01/99 View Full Response UNI040M2
11:39:10 Page 1 of 3
Press desired program function key or Enter.

Name : BERGER, SAMUEL, RICHARD
DDN :

Name No . . . : 1 Rec No : 1
Race . . . . . : W Sex . : M
Case ID . . . : 211-WF-203315
Character . . : EGA
Main/Ref . . : M
Serial . . . : 2 → 1
Document Date :
Event Date. . :
DOB . . . . . : 10/28/1945
POB . . . . . : SHARON CT
ID Info . . . : SOC 122-38-9468
Locality. . . : CT

Unable to locate file

Command . . > UTL .....+
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F15=ViewAKA F21=ViewCase

opened 4/22/96
closed 11/14/96

b6
b7C

06/01/99 View Full Response UNI040M2
11:37:34 Page 1 of 3
Press desired program function key or Enter.

A Name : BERGER, SANDY
DDN :
True : BERGER, SAMUEL, RICHARD
Name No . . . : 1 Rec No : 1 True Name No : 1 True Rec No : 1
Race . . . . : W Sex . : M
Case ID . . . : 211-WF-203315
Character . . : EGA
Main/Ref . . : M
Serial . . . : 2 4 |
Document Date :
Event Date. . :
DOB . . . . . : 10/28/1945
POB . . . . . : SHARON CT
ID Info . . . : SOC 122-38-9468
Locality. . . : CT

Unable to locate file

Command . . > UTL .....+
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

Aliases exist
06/01/99 View Full Response UNI040M2
11:39:25 Page 1 of 3
Press desired program function key or Enter.

Name : BERGER, SAMUEL, R
DDN :

Name No . . . : 1 Rec No : 1
Race . . . . . : U Sex . : M
Case ID . . . : 56D-WF-204166
Character . . : EL
Main/Ref . . : R
Serial . . . : 9;13P2;2P2;5;6P3;8; *
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . :
Locality. . . :

Pending C-20

Ident./possible ident.
~~See attached communication(s)~~

Command . . > ACS: No derogatory information +
F1=Help F3=Exit F4=Prompt F6=Multv F11=NextPg F12=Cancel F13=ViewSerial
F14=AddAKA F15=ViewAKA F21=ViewCase

06/01/99 View Full Response UNI040M2
11:37:42 Page 1 of 3
Press desired program function key or Enter.

A Name : BERGER, SANDY
DDN :
True : BERGER, SAMUEL, R
Name No . . . : 2 Rec No : 1 True Name No : 1 True Rec No : 1
Race . . . . . : U Sex . : M
Case ID . . . : 56D-WF-204166
Character . . : EL
Main/Ref . . : R
Serial . . . : 9;13P2;2P2;5;6P3;8; *
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . : Ident./possible ident.
Locality. . . : ~~See attached communication(s)~~

pending C-20

Command . . > ACS: No derogatory information..... +
F1=Help F3=Exit F4=Prompt F6=Multv F11=NextPg F12=Cancel F13=ViewSerial
F14=AddAKA F21=ViewCase

Press desired program function key or Enter.

Name : BERGER, SAMUEL
DDN : SANDY

Name No . . . : 1 Rec No : 1
Race . . . . . : U Sex . : M
Case ID . . . : 56D-WF-204166
Character . . : EL
Main/Ref . . : R
Serial . . . : 325;
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . :
Locality. . . :

pending C-20

Command . . > ACS: Restricted Access - unable to view

F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

6-2-99 requested information

6-8-99 No response from IMA

06/01/99 View Full Response UNI040M2
11:39:48 Page 1 of 3
Press desired program function key or Enter.

Name : BERGER, SAMUEL
DDN :

Name No . . . : 1 Rec No : 1
Race . . . . . : U Sex . : M
Case ID . . . : 74-WF-206380
Character . . : PERJ
Main/Ref . . : M
Serial . . . :
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . :
Locality. . . :

pending C-20

Command . . > 6-2-99 requested serial ..... +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

6-8-99 No response from IMA

b6
b7C

opened 11/4/97 → [redacted]

closed

06/01/99 View Full Response UNI040M2
11:37:59 Page 1 of 3
Press desired program function key or Enter.

Name : BERGER, SANDY
DDN :

Name No . . . : 1 Rec No : 1
Race . . . . . : U Sex . : F
Case ID . . . : 211-WF-207636
Character . . : EGA
Main/Ref . . : R
Serial . . . : 28P2;29;33P2;34;35P4 *
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . :
ID Info . . . :
Locality. . . :

Not enough information in file to ident. or not ident.

Command . . > NE I . . . . . +
F1=Help F3=Exit F4=Prompt F6=Multv F11=NextPg F12=Cancel F13=ViewSerial
F14=AddAKA F21=ViewCase

Aliases exist
06/01/99 .
11:39:34

View Full Response
~~SECRET~~

UNI040M2
Page 1 of 3

Press desired program function key or Enter.

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 11-04-2025 BY: [redacted] b6 b7C

Name : BERGER, SAMUEL, R
DDN :

Name No . . . : 1 Rec No : 1
Race . . . . . : U Sex . : M
Case ID . . . : [redacted] b3 b7E
Character . . : [redacted]
Main/Ref . . : R
Serial . . . : 45;
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . : Ident./possible ident.
ID Info . . . : ~~See attached communication(s)~~
Locality. . . :

~~SECRET~~

Command . . > No derogatory information ..... +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F15=ViewAKA F21=ViewCase

06/01/99 View Full Response UNI040M2
11:39:55 ~~SECRET~~ Page 1 of 3
Press desired program function key or Enter.

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 11-04-2025 BY: [redacted] b6 b7C

A Name : BERGER, SAMUEL
DDN :
True : BERGER, SAMUEL, R
Name No . . . : 1 Rec No : 1 True Name No : 1 True Rec No : 1
Race . . . . : U Sex . : M
Case ID . . . : [redacted] b3 b7E
Character . . :
Main/Ref . . : R
Serial . . . : 45;
Document Date :
Event Date. . :
DOB . . . . . :
POB . . . . . : Ident./possible ident.
ID Info . . . : ~~See attached communication(s)~~
Locality. . . :

~~SECRET~~
Command . . > No derogatory information. +
F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

December 19, 1996

SAMUEL R. BERGER

Captioned individual, also known as Samuel Richard Berger and Sandy, who you advised was born October 28, 1945, in Sharon, Connecticut, and holds Social Security Number 122-38-9468, was the subject of an applicant investigation by the FBI in 1993. This investigation was sent to your office in February 1993.

Berger is one of the subjects of an ongoing criminal investigation by the FBI involving conflict of interest relating to stock holdings. No additional information can be provided at this time.

The central files at FBI Headquarters, the records of the Criminal Justice Information Services Division and appropriate computer data bases contain no additional pertinent information identifiable with captioned individual based upon background information furnished in connection with this name check request.

This communication has been cleared by the Deputy Attorney General, U.S. Department of Justice.

1 - [redacted] Room 4371
1 - [redacted]
1 - [redacted] Room 3149
1 - [redacted]
161B-HQ-1043770
[redacted]200802
[redacted] (7)

NOTE: Per request from [redacted] White House Counsel's Office. (PA). Response concerning the ongoing criminal investigation (58A-WF-200802) was coordinated with Unit Chief [redacted] and SA [redacted] Public Corruption Unit, Criminal Investigation Division. Response also coordinated with [redacted] OGC, and Section Chief David Kitchen. This response will be sent in a sealed envelope marked eyes-only to [redacted]

DUPLICATE YELLOW

161B-HQ-1043770-2

1296-18319

U.S. Department of Justice

Federal Bureau of Investigation

Office of the General Counsel

Washington, D.C. 20535

December 18, 1996

MEMORANDUM FOR THE DEPUTY ATTORNEY GENERAL

FROM: General Counsel, FBI [redacted] b6 b7C

SUBJECT: FORWARDING MATTER OF NAME CHECK OF PROSPECTIVE PRESIDENTIAL APPOINTEE (SAMUEL ("SANDY") RICHARD BERGER) WHICH HAS REVEALED AN ONGOING CRIMINAL INVESTIGATION

PURPOSE: To obtain the Deputy Attorney General's determination of what information should be communicated to the White House Counsel's Office in response to a name check of the above-captioned prospective presidential appointee which has revealed him to be the subject of an ongoing criminal investigation.

TIMETABLE: Immediate (anticipate White House interest in fast FBI response).

DISCUSSION:

The FBI has conducted a name check of this prospective appointee at the request of the White House Counsel's Office. The name check has revealed that this prospective appointee is the subject of an ongoing FBI investigation (ethics/conflict of interest). After consulting with the responsible case agent to determine what information could be disseminated without harm to the investigation, we have prepared a proposed response apprising the White House Counsel's Office that this prospective appointee is the subject of an ongoing criminal investigation by the FBI involving a conflict of interest relating to stock holdings.

Enclosure - 1

~~Sensitive information - pending investigation~~

Memorandum for the Deputy Attorney General
Re: Forwarding Matter of Name Check of Prospective Presidential Appointee (Samuel ("Sandy") Richard Berger) Which Has Revealed an Ongoing Criminal Investigation

A copy of our proposed response is attached. Per the recommendation in my memo of 6/14/96 to Director Freeh (approved by him and you same date), I am now forwarding this matter "in order [for you] to determine what if any information should be communicated to the White House Counsel."

RECOMMENDATION: That you approve dissemination by the FBI to the White House Counsel's Office of the information contained in the attachment hereto.

APPROVE [redacted] 12/19/96

DISAPPROVE _____

OTHER _____

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~~Sensitive information--pending investigation~~

393

#45867

FEB 4 1993

BY COURIER 2/9/93

2/4

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Honorable Bernard Nussbaum
Counsel to the President
The White House
Washington, D.C.

Dear Mr. Nussbaum:

In accordance with a request received from the office of the President-Elect dated January 14, 1993, a Level II background investigation has been conducted concerning Mr. Samuel Richard Berger. Transmitted herewith is a summary memorandum containing the results of this investigation, along with copies of interviews providing details of information contained in this summary memorandum.

Mr. Berger was the subject of a background investigation conducted by the Department of State in 1977, the results of which are incorporated in this summary memorandum.

It should be noted that inasmuch as no fingerprint cards were provided to the FBI in connection with the request to initiate a background investigation of Mr. Berger, the FBI Identification Division searched Mr. Berger's name only.

A Supplement to the Standard Form 86 is generally forwarded to the FBI with the request for a background investigation for a Presidential appointment. On January 14, 1993, [redacted] of your office was telephonically advised by [redacted] our Special Inquiry Unit that no Supplement was received with the request to conduct a background investigation on Mr. Berger. Inasmuch as no Supplement has been provided to the FBI, no investigation pertaining to the questions on the Supplement was conducted.

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This completes our investigation. 161B-HQ-1043770

Sincerely yours,

LAPotts

Larry A. Potts
Assistant Director
Criminal Investigative Division

Enclosures (4)

[redacted]

CLOSED [redacted]

MAIL ROOM

RETURN TO [redacted] ROOM 4371

☐ SEE NOTE PAGE 2

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Honorable Bernard Nussbaum

NOTE: This case was opened on January 15, 1993. Mr. Berger is currently employed by the National Security Council, Washington, D.C., as the Deputy National Security Advisor. He is being investigated for his current Presidential appointment, which does not require Senate confirmation.

Investigation disclosed past alcohol abuse, marijuana use, and psychological counselling. Additionally, while employed by the Department of State, Mr. Berger received a violation for improper storage of secret material.

Two individuals interviewed commented concerning Mr. Berger's past use of alcohol.

During his routine interview, Mr. Berger commented concerning his marijuana use and potential problem with alcohol.

A copy of Mr. Berger's 1/28/93 interview from the WMFO report dated 1/29/93 was sent to the White House.

Copies of [redacted] 1/25/93 interview, and [redacted] 2/2/93 interview from the WMFO reports dated 1/29/93 and 2/4/93, respectively, were also sent to the White House.

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Sibley Hospital, Washington, D.C., requires that a specific release form be signed before records concerning a patient are released. A copy of this release form was provided to Mr. Berger by WMFO; however, to date, he has not completed it. Inasmuch as the attending physician for psychiatric matters, [redacted] was interviewed and provided specific details concerning Mr. Berger's treatment at Sibley Hospital for stress and anxiety, records at Sibley Hospital were not reviewed.

Investigation is complete.

FEB 4 1993

SAMUEL RICHARD BERGER

THE INVESTIGATION OF MR. BERGER COVERED INQUIRIES IN THE UNITED STATES AS TO HIS CHARACTER, LOYALTY, AND GENERAL STANDING, BUT NO INQUIRIES WERE MADE AS TO THE SOURCES OF HIS INCOME.

This summary memorandum contains the results of a Level II background investigation concerning Mr. Berger.

Birth

Mr. Berger was born on October 28, 1945, in Sharon, Connecticut.

Education

Mr. Berger received a J.D. degree from Harvard Law School, Cambridge, Massachusetts, in June, 1971.

Military Service

Mr. Berger enlisted in the United States Army Reserve on May 28, 1968, and served in an inactive status until November 24, 1968. On that date he entered on active duty for training in the United States Army. He was honorably released from active duty on March 29, 1969, as a private by reason of completion of required training. He served in the United States Army Reserve, inactive status, until May 27, 1974, when he was honorably discharged as a specialist fifth class. His service record is clear.

Employment

From January, 1978, to December, 1980, Mr. Berger continued to be employed by the Department of State, Washington, D.C., holding the positions of International Relations Officer and Deputy Director for Planning.

Dep. Dir. _____
ADD Adm. _____
ADD Inv. _____
Asst. Dir.:
Adm. Servs. _____
Crim. Inv. _____
Ident. _____
Insp. _____
Intell. _____
Lab. _____
Legal Coun. _____
Rec. Mgnt. _____
Tech. Servs. _____
Training _____
Cong. Affs. Off. _____
Off. of EEO _____
Off. Liaison & Int. Affs. _____
Off. of Public Affs. _____
Telephone Rm. _____
Director's Sec'y _____

MAIL ROOM ☐

[redacted] (2)

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RETURN TO [redacted] ROOM 4371

Samuel Richard Berger

From January, 1981, to January, 1993, Mr. Berger was an attorney and subsequently a partner in the Law Firm of Hogan and Hartson, Washington, D.C.

From September, 1992, to November, 1992, Mr. Berger worked for the Clinton/Gore Campaign.

From November, 1992, to January, 1993, Mr. Berger was employed in the Office of the President-Elect as the primary National Security Advisor.

Since January, 1993, Mr. Berger has been the Deputy National Security Advisor, National Security Council, Washington, D.C.

Mr. Berger is also a member of the Council on Foreign Relations, New York, New York.

Family Status

Mr. Berger is married to [redacted]

Mr. Berger also owns a cabin on 250 acres in Shenandoah County near Zepp, Virginia.

Mr. Berger's parents, Rose Lehrman Berger Laufer and Albert Aaron Berger, are deceased. In addition to his wife and children, Mr. Berger has listed the following living close relatives: b6 b7C

Stepfather	Louis Laufer Whereabouts Unknown
Sister	[redacted]
Stepsister	
Stepsister	

Samuel Richard Berger

Interviews

Two professional associates from the Law Firm of Hogan and Hartson, Washington, D.C., offered favorable comments concerning Mr. Berger's character, associates, reputation and loyalty. They also stated, however, that in the past and on very limited occasion, it was their opinion that Mr. Berger had difficulty with alcohol. According to one of these individuals, Mr. Berger has dealt with this problem through outside help and no longer has difficulties with alcohol. Both of these individuals commented that this past problem would in no way hinder or limit Mr. Berger's suitability for a position with the United States Government.

Seventeen additional persons, consisting of colleagues, supervisors, coworkers, neighbors, references, professional associates, and social acquaintances, were interviewed. They provided favorable comments concerning Mr. Berger's character, associates, reputation, and loyalty. They stated they are unaware of any alcohol abuse by Mr. Berger.

All persons interviewed stated they are unaware of any illegal drug use by Mr. Berger, nor have they ever known him to exhibit any type of bias or prejudice against any class of citizen or any type of religious, racial or ethnic group. They also commented that they believe Mr. Berger lives within his financial means. All persons interviewed recommended him for a position of trust and responsibility.

Among those interviewed are the following:

[redacted]

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Eli Segal, owner, Bits and Pieces, Boston, Massachusetts.

Financial Responsibility

A search of the computerized records of the Credit Bureau, Incorporated, conducted at FBI Headquarters in January, 1993, disclosed no pertinent information concerning Mr. Berger.

Samuel Richard Berger

Law Enforcement Agency Checks

Information has been received from appropriate law enforcement agencies indicating their files contain no record concerning Mr. Berger.

Bar Affiliations

Mr. Berger is eligible to practice law in the District of Columbia. According to information available, no grievances have been filed against him.

Miscellaneous

A search of NEXIS, a computerized news retrieval service, disclosed no pertinent information concerning Mr. Berger.

During a routine personal interview of Mr. Berger conducted by the FBI on January 28, 1993, he advised that while his firm, Hogan and Hartson, was doing pro bono work for the Polish government in 1989, he registered as a Foreign Agent.

He also commented that from 1970 to 1975, he used marijuana on approximately twelve occasions. He stated that he smoked marijuana at parties and social gatherings when it was offered to him; however, he never bought or sold any illegal drugs.

Mr. Berger further advised that he had a potential problem involving alcohol. Approximately three years ago, he was unhappy in his job, and occasionally began to drink alcohol to relax and help him sleep. Additionally, at that time he began to see [redacted] to help him sort out his feelings. In November, 1991, Mr. Berger stated that he had to work on a Saturday. When he went to the office he realized that he was not able to function as he should due to alcohol consumption. He decided to check himself into Sibley Hospital for a day and a half. He saw [redacted] and began seeing [redacted] at Sibley Hospital. He continues to see [redacted] about once every other week. According to Mr. Berger, since November, 1991, he has not had any problem with alcohol, and only rarely drinks a glass of wine. b6 b7C

[redacted] Washington, D.C., advised that he initially began seeing Mr. Berger on August 9, 1988, when Mr. Berger came to see him regarding

difficulties with anxiety. [redacted] saw Mr. Berger once every other week, and occasionally on a weekly basis. Later during his treatment, Mr. Berger's sessions were once every two weeks and then once per month. According to [redacted] in early 1992, he began seeing Mr. Berger very infrequently, and sometime between March and May, 1992, the therapy ended.

The focus of Mr. Berger's therapy was on his career; his periodic drinking of alcohol while under stress; and the secondary problem of dealing with sleep disruption and the use of alcohol to overcome this sleeping difficulty. According to [redacted] Mr. Berger stopped drinking totally two years ago except for occasional wine with dinner. [redacted] stated that it was Mr. Berger's pattern to overwork himself, thereby depriving himself of sleep, and then drink alcohol to get to sleep.

He further advised that from November 16, 1991, to November 19, 1991, Mr. Berger was hospitalized at Sibley Hospital, Washington, D.C. when he temporarily drank excessively in an effort to correct his sleep deprivation. At this time, Mr. Berger was prescribed medication by [redacted] Washington, D.C. Eventually, the medication was tapered off and in early 1992, Mr. Berger was essentially fully recovered.

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According to [redacted] Mr. Berger was not subject to embarrassment or blackmail. He described Mr. Berger as a very idealistic individual who is single-minded in his pursuit of his career goals. [redacted] offered favorable comments concerning Mr. Berger's character, associates, reputation and loyalty. He also stated that he is unaware of any financial problems or illegal drug use by Mr. Berger. He recommended Mr. Berger for United States Government employment.

[redacted] Washington, D.C., advised that he first met Mr. Berger on November 16, 1991, when Mr. Berger came to Sibley Hospital after being referred there by [redacted] At that time, [redacted] was the attending physician on duty for psychiatric matters, and Mr. Berger was suffering from anxiety and stress behaviors. [redacted] stated that Mr. Berger stayed at Sibley Hospital from November 16, 1991, to November 18, 1991, because he was suffering from stress related anxiety and intermittent alcohol abuse, which occurred when he (Mr. Berger) attempted to ease his anxiety symptoms by drinking alcohol. According to [redacted] Mr. Berger did not suffer from alcohol abuse; however, he was a binge drinker who occasionally adopted this type of behavior to lessen his stress and anxiety.

[redacted] stated that Mr. Berger responded very well to the treatment provided at Sibley Hospital, and he was eventually moved into the outpatient program where he was treated. [redacted] further explained that Mr. Berger encountered anxiety difficulties about once a year, and attempted to treat himself by ingesting alcohol on an intermittent basis. During his outpatient program, which involves seeing [redacted] once a week, Mr. Berger has never encountered anxiety which has impaired his functioning. [redacted] stated that Mr. Berger currently takes daily dosages of Pamlior, 25 milligrams; and a .5 milligram daily dosage of Klonipin. These medications are for Mr. Berger's anxiety condition, and [redacted] stressed that he (Mr. Berger) has not demonstrated any erratic behavior under these medications. [redacted] also stated that Mr. Berger would not be a security risk while taking these medications. Additionally, [redacted] initially diagnosed Mr. Berger as having had alcohol difficulties, and prescribed Antabuse, an anti-alcohol medication for approximately three months.

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[redacted] knew of no biases, prejudices, financial difficulties, prescription drug abuse, or illegal drug use on the part of Mr. Berger, and has no reservations about recommending Mr. Berger for a high level position. He also advised that Mr. Berger has always appeared to be totally capable and competent and would be acceptable in any job with the government.

Agency Checks

Mr. Berger was the subject of a background investigation conducted by the Department of State in 1977, the results of which are incorporated herein. During the course of that investigation fourteen individuals were interviewed and commented favorably concerning Mr. Berger.

Additionally, Mr. Berger was interviewed by the Department of State and advised that in approximately 1976 he tried marijuana on one occasion. He explained that he smoked a very small amount of the substance while at a party. According to Mr. Berger another individual brought the marijuana to the party and he (Mr. Berger) tried "a couple of puffs."

During the course of this FBI background investigation, a check of the records of the Office of Diplomatic Security, Department of State, Washington, D.C., disclosed that on December 14, 1978, Mr. Berger received a violation for improper storage of secret material.

During the course of this investigation, the records of the following entities were checked and found to contain either no record or no pertinent information concerning Mr. Berger, unless otherwise noted in this summary memorandum:

[redacted] b3 b7E
Office of Personnel Management;
Defense Clearance and Investigations Index;
Federal Records Center, St. Louis, Missouri;
Department of State;
Public Integrity Section,
Foreign Agents Registration Office,
and appropriate United States Attorneys,
Department of Justice; and
United States Secret Service.

Searches of the various indices of the FBI, including but not limited to the central index maintained at FBI Headquarters, the index of the Identification Division (by name only), the indices of appropriate field offices and other appropriate computer data bases, did not identify any documents that contain pertinent information identifiable with Mr. Berger or his close relatives.

It should be noted that results of the above indices searches reveal only data entered into those indices as of the date each was searched. However, it should be noted that some delays may occur as to the entry of such data.

MEDICAL

The following investigation was conducted by Special Agent (SA) [redacted] on January 25, 1993, regarding the appointee, SAMUEL RICHARD BERGER, also known as (aka): SANDY BERGER:

[redacted] Washington, D.C., Telephone: [redacted] advised that he first began consulting with the appointee on August 9, 1988, when the appointee came to see him regarding difficulties with anxiety. Beginning then, [redacted] saw the appointee once every other week and occasionally saw BERGER on a weekly basis. Later during the treatment regimen, [redacted] saw the appointee once every two weeks and then one time per month. Beginning in early 1992, [redacted] saw the appointee very infrequently, as he had achieved his therapy goals. [redacted] terminated his work with the appointee sometime between March and May, 1992.

According to [redacted] the focus of the appointee's treatment was on his career; his periodic drinking of alcohol while under stress; and the secondary problem of dealing with sleep disruption on the part of the appointee and his attempted use of alcohol to overcome this sleeping difficulty. [redacted] advised that the appointee worked with him in a very focused program and stopped drinking totally two years ago except for an occasional wine with dinner.

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The appointee participated in collateral visits with the appointee's wife in which the appointee's wife also came to see [redacted] in support of her husband's treatment. Also, according to [redacted], the appointee stopped smoking about a year ago. [redacted] stated that it was the appointee's pattern to overcompensate his work by depriving himself of sleep and then attempting to drink to get to sleep.

According to [redacted] from November 16, 1991 to November 19, 1991, the appointee was hospitalized at Sibley Hospital, Washington, D.C., when he temporarily drank excessively in an effort to correct his sleep deprivation. At this time, the appointee was prescribed medication by one [redacted] Washington, D.C., Telephone: [redacted] Eventually, the medication was tapered off and in early 1992, [redacted] advised that the appointee was essentially fully recovered and the prognosis was very positive.

In regard to all of his treatment, [redacted] stated that the appointee was not subject to embarrassment or blackmail. He described the appointee as a very idealistic person and a person who is very single-minded in his pursuit of his career goals. [redacted] has never known the appointee to exhibit any bias, prejudice, or discrimination regarding individuals of any color, race, gender, or national origin in connection with the way he reaches his decisions or treats individuals. He has never known the appointee ever to have had problems with his finances or to have lived beyond his financial means. He has never known the appointee to ever have had problems with prescription drugs, or to have ever utilized, possessed, distributed, sold, or purchased any illegal drug substances. [redacted] knew of nothing derogatory about the appointee or his character, associates, reputation, or loyalty. [redacted] recommended the appointee for United States Government employment without reservation.

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U.S. Department of Justice

Federal Bureau of Investigation

Washington, D.C. 20535

FEB 4 1993

SAMUEL RICHARD BERGER

THE INVESTIGATION OF MR. BERGER COVERED INQUIRIES IN THE UNITED STATES AS TO HIS CHARACTER, LOYALTY, AND GENERAL STANDING, BUT NO INQUIRIES WERE MADE AS TO THE SOURCES OF HIS INCOME.

This summary memorandum contains the results of a Level II background investigation concerning Mr. Berger.

Birth

Mr. Berger was born on October 28, 1945, in Sharon, Connecticut.

Education

Mr. Berger received a J.D. degree from Harvard Law School, Cambridge, Massachusetts, in June, 1971.

Military Service

Mr. Berger enlisted in the United States Army Reserve on May 28, 1968, and served in an inactive status until November 24, 1968. On that date he entered on active duty for training in the United States Army. He was honorably released from active duty on March 29, 1969, as a private by reason of completion of required training. He served in the United States Army Reserve, inactive status, until May 27, 1974, when he was honorably discharged as a specialist fifth class. His service record is clear.

Employment

From January, 1978, to December, 1980, Mr. Berger continued to be employed by the Department of State, Washington, D.C., holding the positions of International Relations Officer and Deputy Director for Planning.

Copy of report as furnished to outside agency. Do not remove from file.

ANY WORD TODAY?
NOPE.
BRIINGG!
I FIGURE I ALMOST CERTAINLY TALKED MYSELF OUT OF A JOB YESTERDAY.
...BUT FOR SOME REASON I HAVEN'T GIVEN UP HOPE. I HAVE AN ABSURDLY GOOD FEELING ABOUT MY CHANCES.
FBI, MA'AM. BACKGROUND CHECK.
YESSS!
GB Packer

FBI FACSIMILE COVERSHEET

PRECEDENCE	CLASSIFICATION	
	_ TOP SECRET	
✓ IMMEDIATE	_ SECRET	TIME TRANSMITTED: 7:40
_ PRIORITY	_ CONFIDENTIAL	SENDER'S INITIALS: SEF
_ ROUTINE	_ SENSITIVE	NUMBER OF PAGES: 6
	✓ UNCLASSIFIED	

TO: HQ DATE: 2/4/93

ATTN:

FROM: WMFO, NVMRA

SUBJECT: Samuel Berger

SPIN:

BUDED:

b6
b7C

SPECIAL HANDLING INSTRUCTIONS: IMMEDIATELY HAND CARRY!!

ORIGINATOR'S NAME: TELEPHONE: 202-324-6182

ORIGINATOR'S FACSIMILE NUMBER: 202-324-6427

APPROVED:

FBI/DOJ

Memorandum

To : DIRECTOR, FBI
(ATTN: SPIN UNIT, ROOM 4371, FBIHQ)

Date 2/4/93

From : SAC, WMFO (A-1) (161B-HQ-1043770) (P)

Subject: SAMUEL RICHARD BERGER
SPIN (B);
BUDED: PAST

Re WMFO Pending report, dated 1/29/93.

All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have not been granted.

Attached for the Bureau are:

1. Interviews of individuals familiar with the appointee during the Clinton Campaign and at the Clinton Transition Office.

2. Interview of [redacted]

3. D.C. Bar check.

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1-BUREAU (161B-HQ-1043770)
(ATTN: [redacted]
1-WMFO (161B-HQ-1043770)

1*

[redacted]

Memorandum

[redacted]

: DIRECTOR, FBI
(ATTN: SPIN UNIT, ROOM 4371, FBIHQ)

Date 2/4/93

: SAC, WMFO (A-1) (161B-HQ-1043770) (P*)

Subject: SAMUEL RICHARD BERGER
SPIN (B);
BUDED: PAST

Re WMFO Pending report, dated 1/29/93.

All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have not been granted. b6 b7C

Attached for the Bureau are:

1. Interviews of individuals familiar with the appointee during the Clinton Campaign and at the Clinton Transition Office.

2. Interview of [redacted]

3. D.C. Bar check.

LEAD: Review of Sibley Hospital records.

Note that the appointee has not returned the appropriate release form to the FBI as required by Sibley Hospital.

[redacted]

[redacted]UREAU (161B-HQ-1043770) b6
[redacted]ATTN: [redacted] b7C
[redacted]MFO (161B-HQ-1043770)

1*

[redacted]

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 2/4/93

[redacted] 3000 Connecticut Avenue, Northwest, Suite 336, Washington, D.C., telephone [redacted] was contacted by Special Agent (SA) [redacted] on February 2, 1993, regarding his treatment of the appointee, SAMUEL RICHARD BERGER:

[redacted] advised that he first met the appointee on November 16, 1991, when BERGER came to Sibley Hospital in Washington, D.C., having been referred to that institution by one [redacted] At that time, [redacted] was the [redacted] at Sibley Hospital [redacted] and BERGER appeared at the hospital suffering from anxiety and stress behaviors. According to [redacted] BERGER, who stayed at Sibley Hospital from November 16, 1991 through November 18, 1991, was suffering from stress related anxiety and intermittent alcohol abuse, which occurred when BERGER attempted to lessen his anxiety symptoms by ingesting alcohol. [redacted] advised that BERGER did not suffer from alcohol abuse, but that he was a binge drinker who occasionally adopted this type of behavior to lessen his stress and anxiety.

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According to [redacted] BERGER was "fine" on November 17, 1991, the day after he was admitted to Sibley Hospital. [redacted] stated that the appointee responded very well to the structure treatment at the Hospital, and he eventually moved into the outpatient program where he was treated. BERGER saw [redacted] on a continued basis for his stress and anxiety problems. [redacted] stated that previously BERGER had encountered anxiety difficulties about once a year, and attempted to treat them himself by ingesting alcohol on an intermittent basis. [redacted] stated that during the outpatient program, which he structured for BERGER, and which involved seeing him about once a week presently, BERGER has never encountered anxiety which has impaired his functioning, and [redacted] has no reservations about recommending the appointee for a high level position. [redacted] advised that BERGER has always appeared to be totally capable, and competent, and

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Investigation on 2/2/93 at Washington, D.C. File # WMFO 161B-HQ-1043770

by SA [redacted] Date dictated 2/2/93

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would be acceptable in any job with the government. He has always been a high functioning individual.

When specifically asked about any medications that BERGER might be taking, [redacted] stated that currently the appointee takes daily dosages of Pamlior, 25 milligrams, and a .5 milligram daily dosage of Klonipin. These medications are for BERGER's anxiety condition, and [redacted] stressed that the appointee has not demonstrated any erratic behavior under these medications, and that he would not be a security risk while taking these medications. Also, initially, [redacted] diagnosed the appointee as having had alcohol difficulties, and prescribed for him, for about three months, a dosage of Antabuse, and anti-alcohol medication. b6 b7C

[redacted] stated that the appointee has also quite smoking, and started an exercise program, and he sees the appointee once a week for the purpose of monitoring his medications and dealing with life and decision issues.

[redacted] has never known the appointee ever to have exhibited any biases, prejudice, or discrimination against individuals regarding race, color, national origin, handicap, or gender. He has never known the appointee to ever have problems with his finances, or to have lived beyond his financial means. He has never known the appointee to have abused prescription drugs or to have ever had difficulty with illegal drugs, nor has he ever known the appointee to possess, distribute, sell, purchase, or use any illegal drug substances. [redacted] knew nothing derogatory about the appointee or his character, associates, reputation, or loyalty, and he highly recommended the appointee for a position of trust and confidence with the United States Government.

WMFO 161B-HQ-1043770
[redacted]

BAR MEMBERSHIP

DISTRICT OF COLUMBIA BAR
1707 L Street, Northwest
Washington, D.C.

BAR COUNSEL AND GRIEVANCES/COMPLAINTS OFFICE
Building A, 515 5th Street, Northwest,
Washington, D.C.

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On February 1, 1993, [redacted] District of Columbia Bar, Washington, D.C., advised Investigative Assistant (IA) [redacted] that the appointee SAMUEL RICHARD BERGER is an active member, with an admission date of July 20, 1972.

On February 1, 1993, [redacted] Office of Bar Counsel and Grievances, Washington, D.C., advised IA [redacted] that a review of the files disclosed that the appointee BERGER is a member in good standing, and there are no grievances on file which have resulted in disciplinary action.

It should be noted that the Bar Counsel will not release any information regarding complaints against attorneys which are currently being investigated, or which do not result in administrative action, suspension, or disbarment.

6*

FD-263 (Rev. 4-30-85)

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
RICHMOND	BUREAU	2/1/93	2/1/93

TITLE OF CASE
SAMUEL RICHARD BERGER

REPORT MADE BY
SA [redacted] b6 b7C

TYPED BY: [redacted]

CHARACTER OF CASE
SPIN

REFERENCE: WMFO teletype to the Bureau dated 1/29/93.

- RUC -

ADMINISTRATIVE:

Richmond indices negative regarding appointee.

SWB X

APPROVED [redacted] SPECIAL AGENT IN CHARGE

DO NOT WRITE IN SPACES BELOW

COPIES MADE:
2-Bureau (161B HQ-1043770)
(ATTN: SPIN UNI[redacted]
PSS [redacted]
ROOM 437
1-Richmond (161B H[redacted]43770)

b6 b7C

CC [redacted]

DISSEMINATION RECORD OF ATTACHED REPORT

Agency				
Request Recd.				
Date Fwd.				
How Fwd.				
By				

Notation [redacted]

A*
COVER PAGE

FD-204 (Rev. 3-3-59)

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of: SA [redacted] Office: RICHMOND
Date: February 1, 1993

Field Office File #: 161B HQ-R1043770 Bureau File #: 161B HQ-1043770

Title: SAMUEL RICHARD BERGER

Character: SPECIAL INQUIRY

b6
b7C

Synopsis: Arrest checks, Shenandoah County, Va., were negative regarding appointee.

- RUC -

DETAILS:

ARREST

On February 1, 1993, [redacted] Shenandoah County, Virginia, SHERIFF'S DEPARTMENT, advised that a review of the department records failed to reveal any information identifiable with the appointee, SAMUEL RICHARD BERGER.

On February 1, 1993, a review of the SHENANDOAH COUNTY DISTRICT COURT, Shenandoah, records failed to reveal any information identifiable with the appointee.

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FD-448 (Rev. 5-23-90)

FBI FACSIMILE COVERSHEET

CLASSIFICATION

PRECEDENCE

- ☐ Immediate
- ☐ Priority
- ☐ Routine

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☐ Unclassified

Time Transmitted: _____

Sender's Initials: _____

Number of Pages: 3

To: Spin, RH (Name of Office) Date: 1-29-93

Facsimile number: _____

Attn: _____
(Name Room Telephone No.)

From: WMFO
(Name of Office)

Subject: _____

Special Handling Instructions: HAND CARRY TO 161 Supervisor

Originator's Name [redacted] Telephone: _____

Originator's Facsimile Number: _____

Approved: _____ [redacted]

FBI/DOJ

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FM WMFO (161B-HQ-1043770) (P) (A-1)

TO DIRECTOR FBI/IMMEDIATE

FBI RICHMOND/IMMEDIATE

CITE: //3920//

PASS: ATTN: FBIHQ, SPIN UNIT, PSS [redacted] ROOM 4371. b6 b7C

SUBJECT: SAMUEL RICHARD BERGER; OO: FBIHQ; BUDED: 1/29/93.

FOR INFORMATION OF RICHMOND, BUREAU HAS BEEN REQUESTED TO CONDUCT A LEVEL II BACKGROUND INVESTIGATION (BI) OF APPOINTEE IN CONNECTION WITH A PRESIDENTIAL APPOINTMENT, WHICH REQUIRES SENATE CONFIRMATION.

APPOINTEE IS DESCRIBED AS BORN ON OCTOBER 28, 1945, AT SHARON, CONNECTICUT, RESIDES AT 4228 45TH STREET, NORTHWEST, WASHINGTON, D.C., AND HAS SSAN: 122-38-9468.

FIELD OFFICES ARE REMINDED THAT THE INVESTIGATIVE STATUS OF A BI, ALL DEADLINES AND POSITIONS SHALL NOT BE DISCLOSED TO ANY INTERVIEWEES. INQUIRIES BY INTERVIEWEES CONCERNING THE NATURE OF THE POSITION ARE TO BE HANDLED AS SET FORTH IN MIOG, PART II, SECTION 17-5 (5).

DURING HIS INITIAL INTERVIEW, THE APPOINTEE ADVISED THAT HE OWNS A CABIN ALONG WITH TWO HUNDRED AND FIFTY ACRES OF PROPERTY IN ZEPP, VIRGINIA, IN THE SHENANDOAH VALLEY. NO SPECIFIC ADDRESS WAS GIVEN.

LEADS:

RICHMOND: CHECK INDICES CONCERNING APPOINTEE. CONDUCT APPROPRIATE LAW ENFORCEMENT AGENCY CHECKS. TELEPHONICALLY ADVISE HQ OF ANY DEROGATORY INFORMATION.

DIRECT RESULTS/QUESTIONS TO PSS [redacted] SPIN UNIT, FBIHQ, ROOM 4371, EXT. 4755.

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FD-263 (Rev: 4-30-85)

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
WMFO	BUREAU	1/29/93	1/19/93 - 1/28/93

TITLE OF CASE	REPORT MADE BY	TYPED BY:
SAMUEL RICHARD BERGER	PSS	
	CHARACTER OF CASE: SPIN B	

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REFERENCE: Bureau facsimile 1/15/93; Boston teletype 1/21/93; WMFO teletype to Richmond 1/29/93.

- P -

ADMINISTRATIVE: All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have not been granted.

WMFO electronic and general indices contained no pertinent or derogatory information concerning appointee or listed relatives.

LEADS:

1. Interview of
2. Execution by appointee of medical release as required by Sibley Hospital.
3. Review of records at Sibley Hospital.
4. Interviews of individuals familiar with appointee during the Clinton campaign and at the Clinton Transition office.

APPROVED SPECIAL AGENT IN CHARGE

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COPIES MADE:
2 - BUREAU (161B 1043770)
ATTN: PSS
1 - WMFO (161B-HQ 3770)

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b7C

cc

DISSEMINATION RECORD OF ATTACHED REPORT				
Agency				
Request Recd.				
Date Fwd.				
How Fwd.				
By				

Notation

FD-204 (Rev. 3-3-59)

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of: PSS [redacted] Office: WMFO b6 b7C
Date: JANUARY 29, 1993

Field Office File #: 161B-HQ-1043770 Bureau File #: 161B-HQ-1043770

Title: SAMUEL RICHARD BERGER

Character: SPIN B

Synopsis: Appointee interviewed. Hogan and Hartson employment verified and favorable. Former colleagues at Department of State commented favorably. IG/SY at DOS no record/no pertinent information. Current residence verified and favorable. Affiliation with the International Human Rights Group verified and favorable. [redacted] interviewed and commented favorably. Offices of Foreign Agents Registration and Public Integrity, DOJ checked. U.S. Attorney's Office, Law enforcement agency and U.S. Secret Service checks revealed either no record or no pertinent information concerning the appointee. b6 b7C

- P -

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EMPLOYMENT

Associate and Partner
HOGAN AND HARTSON
555 13th Street, Northwest
Washington, D.C.
January, 1973 to August, 1977
January, 1981 to January, 1993

The following investigation was conducted by Special Agent (SA) [redacted] from January 22, 1993 to January 28, 1993, regarding the appointee, SAMUEL RICHARD BERGER, also known as (aka): SANDY BERGER:

[redacted] advised that she came to HOGAN AND HARTSON in 1988, and has been the appointee's [redacted] until he left the firm in January, 1993. [redacted] advised that the appointee was the Director for the International Trade Group and was involved in client work for companies involved in international trade and was also responsible for organizing the Trade Practice Group in the firm's Brussels, Belgium, office. The appointee was also responsible for business development. [redacted] saw the appointee every day and also saw the appointee at an annual picnic he held at his residence. [redacted] described the appointee as very sincere; very dedicated; very honest; a hard worker; a very nice person; kind, and thoughtful. b6 b7C

[redacted] advised that he worked with the appointee on the firm's Management Committee and first met him in law school in September, 1967. [redacted] with the firm, has known the appointee continuously since that time. They were in each other's weddings and he considers the appointee a good friend of his. [redacted] advised that the appointee has been involved in politics and worked for the United States Department of State during a leave of absence from the firm from 1973 to 1977. [redacted] has been with the firm since 1972, and he advised that the appointee returned to the firm and worked in the international area from 1981 to 1993. [redacted] sees the appointee every day at the firm and has had extensive social contact with him. He described the appointee as a terrific lawyer and person; a very hard worker; a person who is interested in public policy issues; serious, and a person of the utmost integrity.

[redacted] advised that, in the past and on very limited occasions, he was of the opinion that the appointee had difficulty with alcohol. [redacted] has talked with the appointee's wife, [redacted] about this and, in concern for the appointee, was

knowledgeable of the appointee's difficulties in this area. It is [redacted] understanding that the appointee has dealt with this problem through outside help and no longer has difficulties with alcohol. [redacted] stated that this past problem would in no way limit the appointee's suitability for United States Government employment.

[redacted] advised that he has been with HOGAN AND HARTSON since [redacted] and has known the appointee since January, 1973, when the appointee first came to the firm as an Associate. [redacted] who does appellate work for the firm, advised that the appointee has been involved in the international area and has also worked in some areas in regards to relations between the firm and the United States Congress. [redacted] usually saw the appointee every few days at the firm and has been to the appointee's house on a number of occasions. He has socialized with the appointee and his family two or three times and he described the appointee as "one of the brightest lawyers in the firm"; a person of good, solid judgement; a problem solver; a calm individual who listens, and a very practical individual.

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[redacted] (interviewed at the firm's office at 8300 Greensboro Drive, McLean, Virginia, Telephone: [703] 848-2600), advised that he knew the appointee when he was an associate and that [redacted] supervised the appointee during this time, from January, 1973 to August, 1977. [redacted] was a [redacted] at that time and was a member of the Managerial Staff and the Executive Committee of the firm, and in that position, he evaluated the appointee and also made his assignments. [redacted] advised that the appointee, during his first tour at the firm, was an Associate and was involved in all of the workings of the firm. In his second tour, which began in January, 1981, the appointee focused on the international trade practice of the firm. [redacted] has had extensive daily contact with the appointee at the firm for 12 years and also has extensively socialized with the appointee. [redacted] considers the appointee a best friend of his and he described the appointee as extremely talented and a person of very high integrity.

[redacted] advised that the appointee is a very close personal friend of hers and that her husband is a good friend of his also. She has known the appointee for about [redacted] and stated that the appointee has specialized in the trade and international law areas at HOGAN AND HARTSON, having previously been a litigator and involved in the general administration of the office. [redacted] stated that the

appointee also has worked in the administration of the firm, and described the appointee as marvelous; "one of the world's gifted and talented guys"; wonderful; gifted, and thoughtful.

[redacted] advised that he first met the appointee during the interview process in January, 1973, when [redacted] was a member of the Executive Committee and was involved in the hiring of the appointee. [redacted] stated that the appointee has worked on case work and also on various administrative committees at the firm. [redacted] has had extensive social contact with the appointee but has not socialized with him. He stated that the appointee started as a generalist at the firm but eventually moved into the commercial, trade, and Governmental regulation sections of the firm's work. [redacted] described the appointee as unusually mature; someone of ability; a poised person; well-mannered; a person who reacted well in tense situations, and a discreet individual.

[redacted] is [redacted] HOGAN AND HARTSON. [redacted] provided information from the appointee's personnel file which [redacted] stated had very little data, as very little of this information is maintained regarding partners in the firm. According to the file, [redacted] stated that the appointee arrived on January 22, 1973, as an Associate in the firm and that he left to go to the United States Department of State on January 23, 1977. He returned as a Counsel to the firm on January 12, 1981, and became a General Partner on January 1, 1982. The appointee tendered his resignation, effective January 19, 1993.

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[redacted] stated that he has known the appointee his entire time at the firm, [redacted] having come to the firm in 1966. [redacted] has had regular and extensive professional contact with the appointee, having had less contact with him previously during the appointee's first tour at the firm. He has socialized with the appointee on some occasions. [redacted] stated that the appointee has focused on international trade practice and, during the last several years, has served as the Director of HOGAN AND HARTSON's International Trade Group. [redacted] stated that this is a multiple disciplinary group and has extensively worked in international affairs at the firm, the appointee serving as the Director of this group during his recent term at the firm. [redacted] described the appointee as a hard worker; a person who is very dedicated to his clients; a person who is devoted to his friends; enormously respected by the partners of the firm; a person with good judgement; intelligent, and witty.

At one time during the appointee's tenure at the firm, [redacted] heard that the appointee might have had a problem with alcohol, that this was a rumor at the firm, and that one of the partners or associates at one time had told [redacted] that the appointee had been "not feeling well", referring to a time that the appointee had had during the previous weekend. [redacted] could provide no further information regarding this alcohol-related problem on the part of the appointee, and [redacted] stated that it would not hinder the appointee from having a successful tenure with the United States Government as an employee.

[redacted] advised that he has been with HOGAN AND HARTSON since [redacted] and that he and the appointee had a common client until 1986 or 1987. [redacted] has had professional contact with the appointee for six or six and one-half years and has socialized with him on some occasions. [redacted] has worked with the appointee in the international trade area of the firm and he describes the appointee as extremely intelligent; an extraordinary person; a person with a sense of politic; a brilliant writer; a compassionate person; a devoted family man, and an extremely affable individual. b6 b7C

[redacted] advised that he, [redacted] came to HOGAN AND HARTSON in [redacted] and that the appointee worked in the CARTER Administration until he returned to the firm in January, 1981. [redacted] has worked with the appointee on a daily basis and has socialized with him, having visited the appointee at his house and the appointee having come to [redacted] house for social functions. [redacted] described the appointee as a fantastic, talented guy; thoughtful; mature, and a dedicated family man.

None of the above individuals has ever known the appointee to exhibit any bias, prejudice, or discrimination in regards to race, color, gender, or national origin in the way he reaches his decisions or treats individuals; none have known him ever to have had problems with his finances or to have lived beyond his financial means; none have known him to ever have had problems with prescription drugs or alcohol (except for the above two instances noted), or to ever have distributed, sold, purchased, utilized, or possessed any illegal drug substances, and none knew of anything derogatory about the appointee or his character, associates, reputation, or loyalty. All highly recommended the appointee for United States Government employment.

EMPLOYMENT
U.S. DEPARTMENT OF STATE (USDS)
2201 C St., N.W.
Washington, D.C.
August 1977 - January 1981

The following investigation was conducted by Special Agent (SA) [redacted] on January 21, 1993, regarding the Appointee, SAMUEL RICHARD BERGER:

[redacted] advised that she has known the appointee since [redacted] on a professional basis and somewhat social basis. [redacted] stated that she was part of the appointee's staff when he was the Deputy Director of Policy Planning (S/P). She characterized the appointee as a hard working and personable individual. She further described the appointee as an able person who has good intellectual skills. She stated that the appointee is very conscientious and loyal. b6 b7C

[redacted] O'MELVENY & MYERS, 555 13th St., NW, Washington, D.C., [redacted] advised that he has known the appointee since [redacted] on a professional and social basis. [redacted] advised that he first met the appointee during the MCGOVERN Presidential Campaign. [redacted] stated he became a member of the Policy Planning Staff at USDS when the appointee was the Deputy Director. He characterized the appointee as an extremely professional person, who is very capable and responsible. He further stated that the appointee was highly skillful and well organized. He described the appointee as a patriot.

[redacted] Washington, D.C., [redacted] advised that she retired from USDS in [redacted] and knew the appointee for the four years he was Deputy Director of Policy Planning. [redacted] advised that she worked directly for the appointee as [redacted] She characterized the appointee as a hard working, conscientious and thorough individual. She stated that the appointee has good interpersonal relations with his staff. She further described him as being considerate of others.

All of the above persons interviewed advised that they know of no information which would reflect unfavorably upon any aspect of the appointee's character, associates, reputation, or loyalty to the United States Government. They are not knowledgeable of any illicit drug use, or alcohol or prescription

drug abuse on the part of the appointee. They stated that the appointee remains in good physical condition, is mentally stable, and has appeared to live within his financial means. All persons interviewed advised that they were unaware of any bias or prejudice on the part of the appointee. They stated that the appointee is the type of person who could be trusted with classified and sensitive materials, and recommended the appointee for a position of trust and confidence with the United States Government.

WMFO 161B-HQ-1043770
[redacted]
1

OUTSIDE ACTIVITIES/AFFILIATIONS

The following investigation was conducted by Special Agent (SA) [redacted] on January 27, 1993, regarding the appointee, SAMUEL RICHARD BERGER, also known as Sandy Berger:

[redacted] International Human Rights Law Group, 1601 Connecticut Avenue, Northwest, Washington, D.C., telephone number [redacted] confirmed that the appointee has been affiliated with the group and has been on its Board of Directors, BERGER having been with the group from 1981 through 1992. [redacted] has known the appointee [redacted] when [redacted] came to the group. By way of background, [redacted] advised that the group is a human rights advocacy organization, and that it focuses in helping groups build democratic institutions and emerging democracies around the world. The group has thirteen full-time staff members, four part-time staff members, and six interns.

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According to [redacted] the board meets every two months for periods of time ranging from 90 minutes to two hours. BERGER, who served on this board without salary, was secretary of the board during the last term of three years. BERGER was also the former Chairman of the Development Committee, and he did development work and fund raising activities for the group. [redacted] has had very little interaction with BERGER outside of the group.

[redacted] described BERGER as very confident; knowledgeable; resourceful; aggressive and helpful; competent; and very passionate about the cause of human rights. [redacted] has never known BERGER to exhibit any bias, prejudice, or discrimination regarding race, color, gender, national origin, in regards to the way BERGER treats people or makes decisions; [redacted] has never known the appointee to ever have problems with his finances, or to have lived beyond his financial means; he has never known SANDY BERGER ever to have had problems with alcohol or prescription drugs, or have ever utilized, possessed, distributed, sold, or purchased any illegal drug substances; and he knows nothing derogatory about the appointee, or his character, associates, reputation, or loyalty. [redacted] recommended the appointee for United States Government employment.

WMFO 161B-HQ-1043770
[redacted]
1

FOREIGN ACTIVITIES

The following investigation was conducted by Special Agent (SA) [redacted] on January 26, 1993, regarding the appointee, SAMUEL RICHARD BERGER, also known as Sandy Berger:

[redacted] Office of Foreign Agents Registration, United States DEPARTMENT OF JUSTICE (DOJ), 1400 New York Avenue, Northwest, Washington, D.C., telephone number [redacted] advised that she located a registration certificate for one SAMUEL RICHARD BERGER registered on behalf of the law firm HOGAN AND HARTSON, and dated November 17, 1989. This certificate terminated November 19, 1992, as BERGER no longer works on behalf of any foreign principles. During the above time period, the appointee worked with and represented governments for the Embassy of Japan, the government of the commonwealth of the Bahamas, the government of Ontario, the underwriters at Lloyd's of London, the International Commonwealth of Passenger Lines, the Counsel of European and Japanese National Ship Overseas, Daimler-Benz, and the government of Poland.

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[redacted] stated that there was no further information regarding BERGER or his representation of foreign principles.

WMFO 161B-HQ-1043770
[redacted]

NEIGHBORHOOD
[redacted]
Washington, D.C.
1973 to present

The following investigation was conducted regarding the appointee, SAMUEL RICHARD BERGER:

[redacted] Washington, D.C., [redacted] is a [redacted] She has known the appointee and his wife for [redacted] b6 b7C

[redacted] said that the appointee is a wonderful father, and neighbor. He is very dedicated, and a hard worker. She stated that the appointee has a good reputation in the community. She also stated that she knows of no one with whom the appointee associates who would have an improper or negative influence over him. She considers the appointee to be a loyal citizen. She has observed nothing which would indicate that the appointee has any emotional problems, and she stated he has no physical problems that would interfere with his ability to do his job. She indicated that the appointee holds no biases or prejudices against anyone on the basis or race, religion, or sex. [redacted] does not believe the appointee lives above his means financially. She knows of no illegal drug use or alcohol abuse by the appointee. She stated that she has no basis on which to comment about whether the appointee abuses prescription drugs. She knows of nothing negative about the appointee, and recommends him for a position of trust and confidence with the United States Government.

[redacted] Washington, D.C., [redacted] is [redacted] in Washington, D.C. He is both a neighbor and a close personal friend of the appointee. He first met the appointee when they [redacted] in Washington approximately [redacted] ago. At the same time the appointee moved into [redacted] neighborhood, where they have socialized since. [redacted] described the appointee as a very warm and decent person, who is an excellent father and husband. He further described him as a compassionate friend, who is very helpful to people in need. He also has excellent judgment, and is very level headed in his actions. [redacted] stated that appointee is very bright, yet "down to earth" and causes people to be relaxed around him. b6 b7C

[redacted] described the appointee as a good lawyer, and said he bases that opinion on the appointee's professional

reputation, and on observation. [redacted] noted that both he and the appointee are members of the International Trade Bar where he is considered a "consummate professional".

[redacted] stated the appointee has a good reputation in the community, and does not associate with anyone of a disreputable or disloyal nature. He considers the appointee to be a loyal citizen, who is emotionally stable, with no physical problems that would hinder his ability to do his job. [redacted] stated that the appointee does not hold any biases or prejudices against anyone on the basis or race, sex or religion. He stated the appointee is financially responsible, and lives within his means. He stated the appointee drinks, but does not abuse alcohol. He further stated the appointee does not abuse prescription drugs and has no connection with illegal drugs. He recommends him for a position of trust and confidence with the United States Government without reservation.

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[redacted] Washington, D.C., advised she has lived at her residence for [redacted] and has known the appointee since [redacted] She does not socialize with him, but knows who he is, and considers him to be friendly. She does not know who he associates with, but knows that he has a good reputation in the community. She feels he is emotionally stable, with no biases or prejudices against anyone on the basis of race, religion, sex, or national origin. She has never observed him abuse either alcohol or prescription drugs, and does not believe he has any connection with illegal drugs. She knows of nothing negative about the appointee's character, reputation, associates or loyalty to the Government, and she recommends him for a position of trust and confidence with the United States Government.

[redacted]

OFFICE OF THE INSPECTOR GENERAL

Department of State
Office of the Inspector General
23rd and C Streets
Washington, D.C.

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The following investigation was conducted by Special Agent (SA) [redacted] on January 21, 1993, concerning the appointee, SAMUEL RICHARD BERGER:

[redacted] advised that the above-captioned office has no record concerning the appointee.

WMFO 161B-HQ-1043770
[redacted]
1

SECURITY
OFFICE OF DIPLOMATIC SECURITY (DS)
U.S. DEPARTMENT OF STATE (USDS)
2121 Virginia Avenue, N.W.
Washington D.C.

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On January 22, 1993, Special Agent (SA) [redacted] reviewed the Security File of the appointee, SAMUEL RICHARD BERGER, at the above location. The information was provided by [redacted] with DS at the USDS, telephone [redacted] The following pertinent information was obtained:

DATE	ACTION
8/2/77	Notification of Security clearance granted.
8/23/77	Appointment limited to five years as an Intelligence Relations Officer - General; Policy Planning Staff.
7/25/77	No derogatory information was noted during a review of DS background investigation report submitted by Washington. During the DS interview, the appointee acknowledged smoking marijuana on one occasion in 1976. The appointee stated taking a few puffs at a party among friends. The appointee stated that he has no intentions of using it again nor has he used any other type of illegal drug.
Various	No derogatory information was noted during a review of DS background investigation reports submitted by Boston on 7/28/77, New York on 8/3/77, and Washington on 8/1/77 and 8/4/77.
12/14/78	Record of violation report, improper storage of Secret material, [redacted] at USDS.
12/3/80	Separation statement from USDS.

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WMFO 161B-HQ-1043770
[redacted]

NATIONAL PARK SERVICE (NPS)
U.S. Park Police Department (PKPD)
1100 Ohio Drive,
Washington, D.C.

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On January 25, 1993, Investigative Assistant (IA) [redacted] caused a search to be made of the records of the above captioned agency concerning the appointee, SAMUEL RICHARD BERGER, alias Sandy Berger. [redacted] of the agency reviewed the records and advised that no identifiable Adult Criminal record could be located regarding the appointee.

WMFO 161B-HQ-1043770
[redacted]

DRIVER'S RECORD

DEPARTMENT OF TRANSPORTATION
Bureau of Motor Vehicle Services
District of Columbia Government
301 C Street, N.W.
Washington, D.C.

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On January 25, 1993, Investigative Assistant (IA) [redacted] was advised by [redacted] of the above captioned agency, that the computerized records of the DEPARTMENT OF TRANSPORTATION, Bureau of Motor Vehicle Services, for the District of Columbia Government revealed no traffic record concerning the applicant, SAMUEL RICHARD BERGER.

WMFO 161B-HQ-1043770
[redacted]

AGENCY CHECK

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UNITED STATES SECRET SERVICE (USSS)
1800 G Street, Northwest
Washington, D.C.

On January 26, 1993, Investigative Assistant (IA) [redacted] caused a search to be made of the files of the United States Secret Service (USSS), Department of the Treasury, Washington, D.C., and was advised that no record was found regarding the appointee SAMUEL RICHARD BERGER, AKA: SANDY BERGER.

161B-HQ-1043770

[redacted]

U.S. DEPARTMENT OF JUSTICE

PUBLIC INTEGRITY SECTION
Criminal Division
1400 New York Avenue, N.W.
Washington, D.C.

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On January 25, 1993, Investigative Assistant (IA) [redacted] caused a search to be made of the files of the U.S. DEPARTMENT OF JUSTICE (DOJ), Criminal Division, Public Integrity Section, Washington, D.C., concerning SAMUEL RICHARD BERGER, who is also known as SANDY BERGER and was advised of the following:

[redacted] Public Integrity Section, DOJ, advised IA [redacted] that a search of the files concerning the appointee was met with negative results.

11

WMFO 161B-HQ-1043770

[redacted]

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LAW ENFORCEMENT AGENCIES

On 1/17/93, a query was made of the Washington Area Law Enforcement System (WALES) computer and it was determined that no record was located at the Metropolitan Police Department concerning the appointee.

It is noted that at all times an indefinite number of unidentified records may not be in the computer and not available for review.

21A

WMFO 161B-HQ-1043770
[redacted]

U.S. ATTORNEY'S OFFICE
555 4th Street, N.W.,
Washington, D.C.

On January 19, 1993, AOSM-C [redacted] submitted a request for a search to be conducted regarding SAMUEL RICHARD BERGER.

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On January 21, 1993, AOSM-C [redacted] was contacted by [redacted] U.S. Attorney's Office, [redacted] NARCOTICS, PUBLIC CORRUPTION, ECONOMIC CRIME, TRANSNATIONAL/MAJOR CRIMES UNIT, of the above captioned agency. [redacted] advised that no identifiable record could be located regarding SAMUEL RICHARD BERGER.

On January 22, 1993, AOSM-C [redacted] was contacted by [redacted] U.S. Attorney's Office, [redacted] Civil Division. [redacted] advised that the following numbers were relative to SAMUEL RICHARD BERGER: 89-0870 and 92-0595.

It should be noted that the index system of the Civil Division, U.S. Attorney's Office, contains only names of plaintiffs, except in Civil Actions brought by the United States against a particular defendent. Suits against government employees who are represented by the United States Attorney would be files by plaintiff's name and docket number.

1.1*

FD-263 (Rev. 4-30-85)

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
NEW YORK	BUREAU	1/26/93	1/15/93-1/25/93

TITLE OF CASE	REPORT MADE BY	TYPED BY:
SAMUEL RICHARD BERGER aka Sandy	SA [redacted]	[redacted]
	CHARACTER OF CASE SPIN	

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REFERENCE

Bureau fax to NY, dated 1/15/93.

- RUC -

ADMINISTRATIVE

All individuals interviewed were advised of the provisions of the Privacy Act of 1974, and only those desiring such confidentiality are so noted.

A search of NY general indices by [redacted] on 1/25/93 revealed nothing identifiable with the appointee or listed references + relatives.

Per [redacted] 1/27/93 [redacted]

[redacted]

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APPROVED	[redacted]IAL AGENT N CHARGE	DO NOT WRITE IN SPACES BELOW

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2-Bureau (1[redacted]043770)
(ATTN: PSS [redacted])
1-New York (1[redacted]-1043770)

CC DE [redacted]

[redacted]

DISSEMINATION RECORD OF ATTACHED REPORT				
Agency				
Request Recd.				
Date Fwd.				
How Fwd.				
By				

Notations [redacted]

A*
COVER PAGE

FD-204 (Rev. 3-3-59)

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of: SA [redacted] Office: NEW YORK
Date: January 26, 1993

Field Office File #: 161G-HQ-1043770 Bureau File #: 161G-HQ-1043770

Title: SAMUEL RICHARD BERGER
aka Sandy

b6
b7C

Character: SPIN

Synopsis: Reference [redacted] contacted and recommends. Membership in the Council on Foreign Relations verified. United States Attorney's checks negative.

- RUC -

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161B-HO-1043770
[redacted]

Reference

On January 15, 1993, [redacted] advised that he has known the appointee since they attended kindergarten together back in 1950. [redacted] described the appointee's character as first rate and his associates as good along with stating that the appointee has high integrity and a great sense of public service. [redacted] stated the appointee is loyal to the United States government, does not use drugs, abuse alcohol or prescription drugs, gets along well with others, has a lifestyle and spending habits consistent with his financial means, presents a fine, personal appearance, has never displayed any form of violent, irrational or deviant behavior, is a stable, responsible, reliable individual, never displayed any bias or prejudice towards any group or organization, can maintain confidences, secrets, exercise appropriate discretion, is honest, and [redacted] highly recommends the appointee for a position of trust and confidence with the United States government. b6 b7C

[redacted] stated that he is not knowledgeable of the appointee's involvement with the Council on Foreign Affairs.

DETAILS

Current Membership

Council on Foreign Relations
58 East 68th Street
New York, New York
1983 - present

On January 25, 1993, [redacted] Council on Foreign Relations, 58 East 68th Street, New York, New York, advised that the appointee has been a member in good standing of the Council on Foreign Relations since 1983. [redacted] advised that she does not know the appointee.

On January 25, 1993, the following individuals advised that they do not know the appointee;

[redacted] Council on Foreign Relations, 58 East 68th Street, New York, New York.

[redacted] Council on Foreign Relations, 58 East 68th Street, New York, New York.

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161B-HO-1043770

[redacted]

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U. S. ATTORNEY'S OFFICE CHECK

On January 19, 1993, Personnel Security Specialist, [redacted] caused a search of the pending and closed records of the U. S. Attorney's Office for the Southern and Eastern Districts, of the Civil and Criminal divisions of New York. The search revealed nothing positively identifiable regarding the candidate SAMUEL RICHARD BERGER.

FD-263 (Rev. 4-30-85)

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
ST. LOUIS	BUREAU	1/26/93	1/19-1/25/93

TITLE OF CASE	REPORT MADE BY	TYPED BY:
SAMUEL RICHARD BERGER, aka Sandy		
	CHARACTER OF CASE: SPIN	

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REFERENCE: St. Louis report of IA [redacted] dated 1/22/93.

- RUC -

ADMINISTRATIVE:

All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

APPROVED: [redacted] SPECIAL AGENT IN CHARGE

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(ATTN: PSS [redacted]
SPIN [redacted] 71)
1 - St. Louis (1[redacted]0)

CC D[redacted]

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Notations [redacted]

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FD-204 (Rev. 3-3-59)

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of: [redacted] Office: ST. LOUIS b6 b7C
Date: January 26, 1993

Field Office File #: 161B-HQ-R1043770 Bureau File #: 161B-1043770

Title: SAMUEL RICHARD BERGER

Character: SPECIAL INQUIRY

Synopsis: Records, FRC-C, St. Louis, Missouri, disclosed BERGER was employed 8/77 to 12/80 with DOS, Washington, D.C., terminated by resignation.

- RUC -

DETAILS: AT ST. LOUIS, MISSOURI

Employment

On January 25, 1993, a review of an Official Personnel Folder on file at the FEDERAL RECORDS CENTER, Civilian Branch (FRC-C), 111 Winnebago Street, disclosed SAMUEL RICHARD BERGER was employed on August 15, 1977 as an International Relations Officer with the DEPARTMENT OF STATE (DOS), Policy Planning Staff, at Washington, District of Columbia. On March 11, 1979, he was reassigned to the position of Deputy Director for Planning. This employment was terminated on December 3, 1980 by resignation, reason shown as "returning to the private practice of law."

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No performance ratings were contained in the personnel record, and no unfavorable information was noted. He was granted a "TOP SECRET" security clearance on August 2, 1977, basis not shown.

His date and place of birth were shown as October 28, 1945, Sharon, Connecticut, and his Social Security Account Number was listed as 122-38-9468.

FD-263 (Rev. 4-30-85)

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
ST. LOUIS	BUREAU	1/22/93	1/19 - 21/93

TITLE OF CASE	REPORT MADE BY	TYPED BY:
SAMUEL RICHARD BERGER AKA: SANDY	IA [redacted]	[redacted] b6 b7C
	CHARACTER OF CASE SPECIAL INQUIRY	

REFERENCE: Bureau fax to New York, 1/15/93.

- P -

ADMINISTRATIVE:

All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

St. Louis Division General indices were negative regarding appointee.

Investigation at FRC-C, continuing.

APPROV [redacted]	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW
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Notation [redacted]

FD-204 (Rev. 3-3-59)

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of: IA [redacted] Office: ST. LOUIS b6 b7C
Date: January 22, 1993

Field Office File #: 161B-HQ-R1043770 Bureau File #: 161B-HQ-1043770

Title: SAMUEL RICHARD BERGER

Character: SPECIAL INQUIRY

Synopsis: BERGER served honorably in ARMY RESERVE. Awards, performance ratings and military occupation reported.

- P -

DETAILS: AT ST. LOUIS, MISSOURI

Military Service

On January 21, 1993, a review of the records on file at the FEDERAL RECORDS CENTER, Military Branch, 9700 Page Boulevard, disclosed SAMUEL RICHARD BERGER, service number 11 517 137, enlisted in the ARMY RESERVE on May 28, 1968, at Boston, Massachusetts. He entered on active duty for training in the ARMY on November 24, 1968, at Boston, Massachusetts. He was honorably released from active duty on March 29, 1969, as a private (E-2), at Fort Knox, Kentucky by reason of completion of required training and reverted to the control of the ARMY RESERVE to complete his military obligation. He then served in the ARMY RESERVE, inactive status, until May 27, 1974 when honorably discharged, as a specialist fifth class, by reason of expiration of term of service.

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He had no foreign service. He was awarded the Sharpshooter Badge with Rifle Bar. There was no record of courts-martial or unauthorized absence and his performance was rated as excellent.

His military occupation was listed as personnel specialist and dental hygienist. A security clearance was not indicated.

His date and place of birth were shown as October 28, 1945, at Sharon, Connecticut.

FD-263 (Rev. 4-30-85)

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
BOSTON	BUREAU	1/21/93	1/15-19/93

TITLE OF CASE

SAMUEL RICHARD BERGER
AKA: SANDY

REPORT MADE BY: SA [redacted] TYPED BY: [redacted]

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b7C

CHARACTER OF CASE

SPIN

REFERENCES: Boston teletype to Bureau 1/20/93
Bureau airtel to New York et al 1/15/93

-RUC-

ADMINISTRATIVE:

A review of Boston's computer and general indices regarding the appointee failed to locate any indentifiable information.

All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

Arrest check and USA check conducted by IA [redacted]
Remainder of investigation conducted by SA [redacted]

In referenced teletype to Bureau, Boston advised that listed former supervisor for the appointee, [redacted] is currently in Washington, D.C. working for the Administration.

APPROVED [redacted] SPECIAL AGENT IN CHARGE

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CC [redacted]

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By				

Notations [redacted]

FBI/DOJ

FD-204 (Rev. 3-3-59)

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of:	SA [redacted]	**Office:**	BOSTON OFFICE	b6 b7C
Date:	JANUARY 21, 1993			
Field Office File #:	161B-HQ-1043770	**Bureau File #:**	161B-1043770	
Title:	SAMUEL RICHARD BERGER			
Character:	SPECIAL INQUIRY			

Synopsis: Education verified. Appointee received a J.D. degree from Harvard Law School on 6/17/71. Reference recommends. Arrest check negative. No prosecutive action on the appointee at the U.S. Attorney's Office.

-RUC-

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FBI/DOJ

161B-HQ-1043770
[redacted]

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EDUCATION

On January 19, 1993, [redacted] Harvard Law School, Cambridge, Massachusetts advised that SAMUEL RICHARD BERGER attended Harvard Law School from September 18, 1967 until June 11, 1971. She said the appointee received a Juris Doctor [J.D.] degree on June 17, 1971, graduating Cum Laude. She said there was no disciplinary action ever taken against the appointee while he attended the law school.

It is the policy of Harvard University not to release academic information with or without a student's signed waiver. This policy is strictly enforced by the university.

[redacted]

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REFERENCE

On January 15, 1993, ELI SEGAL, Owner, Bits and Pieces, 575 Boylston St. Boston, Massachusetts advised that he has known SAMUEL [SANDY] BERGER for 23 years. He met the appointee through politics and has enjoyed both a professional and social relationship since that time.

SEGAL stated that the appointee has a flawless character and reputation. He said the appointee exercises great loyalty and judgement in making his decisions. He considers the appointee to be a honest, trustworthy and loyal citizen. He knows nothing negative about the appointee and has no knowlege the appointee has ever used illegal drugs or abused alcohol or prescription drugs. He said the appointee lives within his financial means and has reputable associates. He is aware of no biases or prejudices by the appointee towards any individuals or groups. He stated that the appointee will serve America well and he would absolutely recommend BERGER for a position of trust and confidence with the government.

ARREST

On January 15, 1993, [redacted] Administrative Section, Cambridge Massachusetts Police Department advised that their files contain no record with anyone identifiable as the appointee. b6 b7C

MISCELLANOUS

On January 15, 1993, [redacted] Docketing Section, U.S. Attorney's Office, District of Massachusetts, Boston, Massachusetts advised that there was no prosecutive action, either civil or criminal on the appointee.

RECEIVED
TELETYPE [redacted]
21 JAN 93 0 [redacted]
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OF INVESTIGATION

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ADD Inv.	
Asst. Dir.:	
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FM FBI BOSTON (161B-HQ-1043770) (P)

TO DIRECTOR FBI (161B-HQ-1043770)/IMMEDIATE/

FBI WMFO (161B-HQ-1043770)/IMMEDIATE/

BT

UNCLAS

CITE: //3090//

SUBJECT: SAMUEL RICHARD BERGER; AKA SANDY; SPIN; OO: FBIHQ;
BUDED 1/29/93.

RE BUREAU FAX TO ADIC, NEW YORK, 1/15/93.

FOR INFORMATION OF BUREAU AND WASHINGTON METROPOLITAN FIELD OFFICE WHO IS IN RECEIPT OF RE COMMUNICATION ON SF-86 BERGER LISTED EMPLOYMENT WITH UNITED STATES DEPARTMENT OF STATE, AUGUST, 1977, TO JANUARY, 1981, HIS FORMER SUPERVISOR WAS [redacted]

EFFORTS TO CONTACT [redacted] ON 1/19/93 MET WITH NEGATIVE

b6
b7C

CC DES [redacted]

RESULTS. ON 1/20/93, [redacted] INTERNATIONAL RELATIONS OFFICE, MOUNT HOLYOKE COLLEGE, SOUTH HADLEY, MASSACHUSETTS, ADVISED [redacted]

[redacted]

b6
b7C

LEAD:

WMFO:

AT WASHINGTON, D.C.:

WILL CONTACT [redacted] AND CONDUCT APPROPRIATE INVESTIGATION.

BT

#0002

NNNN

RECEIVED
TELETYPE UNIT

20 JAN 93 22 43Z

FEDERAL BUREAU
OF INVESTIGATION

Dep. Dir.
ADD Adm.
ADD Inv.
Asst. Dir.:
Adm. Servs.
Crim. Inv.
Ident.
Info. Mgmt.
Insp.
Intell.
Lab.
Legal Coun.
Tech. Servs.
Training
Cong. Affs. Off.
Off. of EEO
Off. Liaison & Int. Affs.
Off. of Public Affs.
Telephone Rm.
Director's Office

0380 MRI 01341

PP RUCNFB

DE FBINK #0006 0202149

ZNR UUUUU

P 202146Z JAN 93

FM FBI NEWARK (161B-HQ-1043770) (RUC)

TO DIRECTOR FBI (161B-HQ-1043770)/PRIORITY/

BT

UNCLAS

CITE: //3510:SQC-7//

PASS: PSS [redacted] SPIN UNIT, FBIHQ, ROOM 4371.

SUBJECT: SAMUEL RICHARD BERGER, AKA: SANDY; SPIN; BUDED: 1/29/93; OO: FBIHQ.

RE: FBIHQ AIRTEL TO ADIC, NEW YORK, DATED 1/15/93.

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ADMINISTRATIVE:

A REVIEW OF NEWARK GENERAL INDICES AND FOIMS WAS NEGATIVE REGARDING THE CANDIDATE AND CANDIDATE'S LISTED RELATIVE AS OF 1/15/93.

THIS MATTER WAS HANDLED BY SA [redacted]

BT

#0006

CC DES [redacted]

[redacted]

NNNN

FD-263 (Rev. 4-30-85)

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
NEW HAVEN	BUREAU	1/20/93	1/19/93

TITLE OF CASE	REPORT MADE BY	TYPED BY:
SAMUEL RICHARD BERGER, AKA SANDY	IA [redacted]	[redacted] b6 b7C
	CHARACTER OF CASE SPECIAL PRESIDENTIAL INQUIRY	

REFERENCE:

Bureau airtel to New York, etal, dated 1/15/93.

- RUC -

ADMINISTRATIVE:

All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

New Haven Office Indices were searched and proved negative for the appointee.

APPROVED [redacted]	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW
COPIES MADE: 2-Bureau (161B-HQ-1[redacted] (ATTN: PSS SPIN UNIT, 2-New Haven (161B-HQ-1043770)	[redacted]	b6 b7C

DISSEMINATION RECORD OF ATTACHED REPORT				
Agency				
Request Recd.				
Date Fwd.				
How Fwd.				
By				

Notati[redacted]

A*
COVER PAGE

FD-204 (Rev. 3-3-59)

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of: IA [redacted] Office: NEW HAVEN b6 b7C
Date: January 20, 1993

Field Office File #: 161B-HQ-1043770 Bureau File #: 161B-HQ-1043770

Title: SAMUEL RICHARD BERGER, AKA SANDY

Character: SPECIAL PRESIDENTIAL INQUIRY

Synopsis: Birth verified.

- RUC-

DETAILS:

Birth

On January 19, 1993, [redacted] b6 b7C Bureau of Vital Statistics, 150 Washington Street, Hartford, Connecticut advised IA [redacted] her records reflect the birth of SAMUEL RICHARD BERGER on October 28, 1945 at Sharon, Connecticut. His parents are listed as ALBERT AARON BERGER and ROSE LEHRMAN.

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

~~FOR OFFICIAL USE ONLY~~

RELEASE OF PERSONNEL SECURITY INFORMATION

NAME OF SUBJECT *(Last, First, Middle)*		FILE NUMBER
BERGER, SAMUEL R.		2208176
DOB	**POB**	**DATE OF REQUEST**
28 OCT 45	SAARON, CT	15 JAN 93
REQUESTING AGENCY	**PURPOSE FOR WHICH INFORMATION REQUIRED**	
FBI	SPIN	

NATURE *(Description)* OF INFORMATION REVIEWED:

NONE

In _____19 ___, Name Checks were conducted on Subject with the following results:

FBI	FBI IDENT	STATE	PASSPORT	OPM	OSI	NIS	DCII	NSA	INS	

Remarks: P - Positive N - Negative

SUBJECT WAS GRANTED A TS/SPECIAL ACCESSES ON 10 NOV 1992. BASED ON AUTHORITY OF DCI.

1. Public Law 93-579, 93rd Congress, S. 3418, December 31, 1974, "Privacy Act of 1974", requires that each agency keep an accounting of each disclosure of a record to any person or agency relative to the name and address of the person or agency to whom the disclosure is made, and the date, nature and purpose of each disclosure. Failure to satisfy this requirement will preclude the release of Agency information.

2. Pursuant to Section 552a(b) (7) of the Privacy Act, no information relative to a civil or criminal enforcement activity is to be released unless the head of the Requesting Agency or department thereof makes written request specifying the portion desired and the law enforcement activity involved.

3. As a representative of the above named Requesting Agency, I understand that all personnel security information being furnished me is FOR OFFICIAL USE ONLY and it is not to be divulged or disseminated except to officials of the Requesting Agency on a strict need-to-know basis.

[redacted] 15 JAN 93
RELEASED BY *(Initials) and Date*

[redacted] 1/21/93
SIGNATURE AND DATE

b6
b7C

[redacted]

FORM 5-92 **2689** OBSOLETE PREVIOUS EDITIONS

~~FOR OFFICIAL USE ONLY~~

"TRANSITION"

REQUEST FOR CREDIT CHECK

JAN 15 2 31 PM '93

DATE 01/14/93

TO: CONTRACTOR
FROM: SPECIAL INQUIRY UNIT (SPIN), CID

ATTENTION: [redacted] ROOM 4371 EXT. 2587

RESPONSE CRITERIA	TYPE OF REQUEST
2 Days	Suitability

SUBJECT'S NAME: BERGER,SAMUEL RICHARD MAIDEN:

b6
b7C

OTHER NAMES USED: BERGER,SANDY

DATE OF BIRTH (DOB): 10/28/45 PLACE OF BIRTH (POB): SHARON,CT

SEX: M SOCIAL SECURITY ACCOUNT NUMBER (SSAN): 122-38-9468

SPOUSE'S NAME: [redacted] MAIDEN: [redacted]
AKA:

SUBJECT'S CURRENT ADDRESS: 4228 45TH ST, WASHINGTON,DC 20016

SUBJECT'S ADDRESS(ES) FOR LAST SEVEN (7) YEARS: 4228 45TH ST, WASHINGTON,DC 20016

ENCLOSURE - RELEASE FORM TO BE ATTACHED

[redacted]

b6
b7C

Date: January 15, 1993

TO: INVESTIGATION BACKGROUND BRANCH (IBB)
OPM
ATTN: [redacted]

FROM: SPECIAL INQUIRY UNIT
FBI HEADQUARTERS

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b7C

PLEASE SEARCH THE FOLLOWING NAMES THORUGH OPM RECORDS:

NAME	DOB	SSAN
SAMUEL RICHARD BERGER	10/28/45	122-38-9468 NO RECORD by SSAN or NAME
[redacted]		[redacted]

IF ANY QUESTIONS, PLEASE CALL [redacted] AT (202) 324-6941.
SPIN UNIT FAX NUMBER IS 324-2574.

b6
b7C

[redacted]

U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

December 23, 1992

BY COURIER 12/24/92

To: [redacted]

Office of the President-Elect
1120 Vermont Avenue, Northwest
Washington, D. C. 20530

b6
b7C

[redacted]
Unit Chief
Special Inquiry Unit
Federal Bureau of Investigation
Room 4371, J. Edgar Hoover Building
10th & Pennsylvania Ave., N. W.
Washington, D. C. 20535

Re: SAMUEL R. BERGER
FBI NAME CHECK

Pursuant to a request of the President-Elect's Transition staff received December 22, 1992, the FBI has completed a name check concerning Mr. Berger, who is also known as "Sandy" Berger and Samuel Richard Berger. Utilizing the information contained in the request, this name check, including a check of the FBI's Identification Division records by name, disclosed no pertinent information concerning Mr. Berger.

Should your office have any questions concerning the above, please contact me or Supervisory Personnel Security Specialist [redacted] at 202-324-2568.

[redacted]

NOTE: On 12/23/92, [redacted], Transition Office, was orally advised of the results of this name check by [redacted], SPIN Unit, FBIHQ.

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The name check is complete.

RETURN TO [redacted]

Exec AD Adm. ____
Exec AD Inv. ____
Exec AD LES ____
Asst. Dir.:
Adm. Servs. ____
Crim. Inv. ____
Ident. ____
Insp. ____
Intell. ____
Lab. ____
Legal Coun. ____
Off. Cong. & Public Affs. ____
Rec. Mgnt. ____
Tech. Servs. ____
Training ____
Off. Liaison & Int. Affs. ____
Telephone Rm. ____
Director's Sec'y ____

MAIL ROOM [redacted]

additional information obtained from [redacted] Dept of State

SAMUEL R. Berger COOB + POB + mI

aka Sandy Berger [redacted] 991-0943

b6
b7C

W/m

CLIFTON Reginald ~~Clifford~~ WHARTON, JR

Pres, Univ mich.

DOB 9/13/26

Boston, mass

"TRANSITION"

DCII CHECK REQUEST FORM

****

** SUBJECT IDENTIFICATION **

****

PLEASE RETURN TO PSS [redacted] ROOM 4371. b6 b7C

SUBJECT: BERGER, SAMUEL, RICHARD

DOB: 45/10/28

SSAN: 122-38-9468

OTHER-NAMES: BERGER, SANDY (AKA)

CHECK CONDUCTED BY: NR [redacted] ON: 1/15/93 b6 b7C

[redacted]

01 BERGER,S DB=451028 SS=122389468 PB=
*** ?NO RECORD FOUND ↓

RNTR/PF-4 EXT/PF-5 CMD = --
?SEL-NEXT
4ß NUM — 33

-JOURNAL- DATE JAN-15-1993 TIME 12:20

DATE/TIME = JAN-15 12:10
JOURNAL NO. = 36
COMM.RESULT = OK
PAGES = 13
FILE NO. =
DURATION = 00:10'05
MODE = XMT
STATION NAME = WMFO
TELEPHONE NO. = 8 202 324 6427
RECEIVED ID =
RESOLUTION = STANDARD

-SPIN UNIT -

202 324 1377-

********** -JOURNAL- ********** DATE JAN-15-1993 ***** TIME 11:46 **********

DATE/TIME	= JAN-15 11:44
JOURNAL NO.	= 05
COMM.RESULT	= OK
PAGES	= 02
DURATION	= 00:01'30
MODE	= XMT
STATION NAME	= SAINT LOUIS
TELEPHONE NO.	= 8 314 241 5357
RECEIVED ID	= 314 241 5357
RESOLUTION	= STANDARD

-SPIN UNIT -

********** ********** - 202 324 1371- **********

-JOURNAL- DATE JAN-15-1993 TIME 11:28

DATE/TIME	= JAN-15 11:19
JOURNAL NO.	= 04
COMM.RESULT	= 407
PAGES	= 11
DURATION	= 00:09'17
MODE	= XMT
STATION NAME	=
TELEPHONE NO.	=
RECEIVED ID	= 314 241 5357
RESOLUTION	= STANDARD

-SPIN UNIT -

202 324 1371-

********** -JOURNAL- ********** DATE JAN-15-1993 ***** TIME 11:18 **********

DATE/TIME	= JAN-15 11:17
JOURNAL NO.	= 22
COMM.RESULT	= OK
PAGES	= 03
FILE NO.	=
DURATION	= 00:01'24
MODE	= XMT
STATION NAME	= NEW HAVEN
TELEPHONE NO.	= 8 203 786 7136
RECEIVED ID	= 1 203 786 7136
RESOLUTION	= STANDARD

-SPIN UNIT -

********** - 202 324 1373- **********

********** -JOURNAL- ********** DATE JAN-15-1993 ****** TIME 11:01 **********

DATE/TIME	= JAN-15 10:51
JOURNAL NO.	= 21
COMM.RESULT	= OK
PAGES	= 13
FILE NO.	=
DURATION	= 00:09'07
MODE	= XMT
STATION NAME	= BOSTON
TELEPHONE NO.	= 8 617 223 6939
RECEIVED ID	= 617 223 6939
RESOLUTION	= STANDARD

-SPIN UNIT -

********** - 202 324 1373- **********

********** -JOURNAL- ********** DATE JAN-15-1993 ***** TIME 11:14 **********

DATE/TIME	= JAN-15 11:05
JOURNAL NO.	= 03
COMM.RESULT	= OK
PAGES	= 11
DURATION	= 00:08'44
MODE	= XMT
STATION NAME	= NEW HAVEN
TELEPHONE NO.	= 8 203 786 7136
RECEIVED ID	= 1 203 786 7136
RESOLUTION	= STANDARD

-SPIN UNIT -

********** - 202 324 1371- **********

********** -JOURNAL- ********** DATE JAN-15-1993 ***** TIME 11:00 **********

DATE/TIME	= JAN-15 10:50
JOURNAL NO.	= 02
COMM.RESULT	= OK
PAGES	= 13
DURATION	= 00:09'36
MODE	= XMT
STATION NAME	= NEWARK
TELEPHONE NO.	= 8 201 456 9239
RECEIVED ID	=
RESOLUTION	= STANDARD

-SPIN UNIT -

********** - 202 324 1371- **********

********** -JOURNAL- ********** DATE JAN-15-1993 ***** TIME 10:51 **********

DATE/TIME	= JAN-15 10:42
JOURNAL NO.	= 20
COMM.RESULT	= OK
PAGES	= 13
FILE NO.	=
DURATION	= 00:09'11
MODE	= XMT
STATION NAME	= NEW YORK
TELEPHONE NO.	= 8 212 335 2756
RECEIVED ID	= 2123352756
RESOLUTION	= STANDARD

-SPIN UNIT -

********** - 202 324 1373- **********

D-448 (Rev. 5-23-90)

IMPORTANT AND URGENT

FBI/DOJ

FBI FACSIMILE COVERSHEET

CLASSIFICATION

PRECEDENCE

- ☐ Immediate
- ☑ Priority
- ☐ Routine

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☑ Unclassified

Time Transmitted: _____
Sender's Initials: _____
Number of Pages: _____

To: ~~NY, BS, NK, NH, SL~~, WFO (Name of Office) Date: 1/15/93

Facsimile number: _____

Attn: 161 Supervisors (Name / Room / Telephone No.)

From: Spin Unit (Name of Office)

Subject: Samuel Richard Berger
161B-HQ-1043770
Level II

Special Handling Instructions: Pls. handcarry to 161 Supvs. . . .
Notify HQ upon receipt of this fax - Pls!

Originator's Name: [redacted] Telephone: 2587

Originator's Facsimile Number: 2574

Approved: [redacted]

FBI/DOJ

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b7C

FAX

1/15/93

FROM: Director, FBI (161B - HQ -1043770)

TO: ADIC, New York
SACs, Boston
Newark
New Haven
St. Louis
WMFO

SAMUEL RICHARD BERGER; AKA: SANDY
SPIN;
OO: FBIHQ
BUDED: 1/29/93

Bureau has been requested by the Office of the President Elect (OPE) to conduct a Level II background investigation (BI) of appointee in connection with a Presidential appointment which does not require Senate confirmation. Appointee was born 10/28/45, in Sharon, Connecticut, resides at 4228 45th Street, NW, Washington, D.C., and has SSAN 122-38-9468.

Field Offices are reminded that the investigative status of a BI, all deadlines and the position for which the appointee is being considered shall not be disclosed to any interviewees. If during the course of the investigation, interviewees provide the nature of the position, that information is not to be further divulged outside the FBI. Inquiries by interviewees concerning the nature of the position are to be handled as set forth in MIOG, Part II, Section 17-5 (5). Appointees making inquiries regarding the status of their BI are to be referred to the client agency.

Direct results/questions to PSS [redacted] SPIN Unit, FBIHQ, Room 4371, Ext. 2587. If BUDED will not be met, telephonically advise PSS [redacted] and set forth reason(s) in Administrative section of investigative report. SPIN Unit facsimile numbers are: **(202) 324-2574** and **(202) 324-1373.**

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Advise FBIHQ (PSS [redacted] and appropriate field offices of any derogatory information in accordance with MIOG, Part II, Section 17-5.1(1).

FAX TO ADIC, New York, et al
RE: Samuel Richard Berger

LEADS:

EACH RECEIVING OFFICE:

In addition to investigation to be conducted in those areas marked for coverage in appointee's SF-86, receiving offices are to conduct specific investigation set forth below.

Boston, and WMFO are requested to check appropriate United States Attorneys Office covering the areas where appointee lives, works or went to school, within the scope of this investigation.

NEW HAVEN DIVISION:

Verify date and place of birth through the Bureau of Vital Statistics.

NEW YORK DIVISION

Interview persons knowledgeable concerning his involvement with the Council on Foreign Affairs.

ST. LOUIS DIVISION

Check FRC - Civilian and Military.

WMFO DIVISION

1. Interview appointee in accordance with MIOG, Part II, Section 17-5.6. Discuss counseling. Determine if he ever used alcohol to excess.

2. Determine if he is a member of the D.C. Bar. If he is, determine if any grievances or complaints have ever been filed against him.

3. Check IG and Security at the Department of State.

4. Interview persons knowledgeable concerning his position with International Human Rights Law Group.

5. Interview [redacted] b6 b7C

6. Insure that at least 20 persons knowledgeable concerning appointee are interviewed.

7. Check US Secret Service

8. Check Public Integrity Section and Foreign Agents Registration/Department of Justice.

"TRANSITION"

JAN-15-1993 11:20 FROM NEWINGTON NAME SEARCHING TO SPIN P.02/05

"TRANSITION"

SSSS PPPP EEEE CCCC IIIII A L
S P P E C I A A L
***** SSSS PPPP EE C I AAAAA L *****
S P E C I A A L
SSSS P EEEE CCCC IIIII A A LLLLL

JAN 19 1993

SPECIAL INQUIRY UNIT
FEDERAL BUREAU OF INVESTIGATION
RECORDS/OPERATIONS SECTIONS

DATE: 01/14/93 BUDED: 01/19/93

X NEWINGTON ANNEX, RM. 6912
X FORWARD TO FILE REVIEW, 5447, TL# 143
X RETURN TO: [redacted] ROOM 4371, TL# 114, EXT. 2507

SCOPE OF SEARCH: UNRESTRICTED (ADB)

TYPE OF SEARCH REQUESTED: ALL REFERENCES (SECURITY & CRIMINAL)

SPECIAL INSTRUCTIONS:
_ EXACT NAME ONLY (ON THE NOSE)
X VARIATIONS

JAN 15 1993

SUBJECT: * BERGER,SAMUEL,RICHARD *
AKA(S): * BERGER,SANDY, *
BIRTHDATE & PLACE: * 10/28/45; SHARON,CT *
SSAN: * 122-38-9468 *
CURRENT ADDRESS: 4228 45TH ST
WASHINGTON, DC 20016

RE _____ DATE 1/15 SEARCHER INITIALS [redacted]
PROD. _____

FILE NUMBER	SERIAL	IDENT	ADB	INACT	DATE
[redacted]					
161B-HQ-1043770	I				
Richard					
97-145861					5-1-96
Berger, Sandy					
S.I.					

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b7C

[redacted]

JAN 15 '93 12:12 703 550 3349 PAGE.002

IMMEDIATE ACTION

"TRANSITION"

DEC 23 1992

FEDERAL BUREAU OF INVESTIGATION
Records/Operations Sections

b6
b7C

****

TO: X SERVICE UNIT, ROOM 5991
X FORWARD TO FILE REVIEW, ROOM 5447, TL# 143

FROM: SPECIAL INQUIRY UNIT (SPIN)
[redacted] ROOM 4371, TL# 114, EXT. 6941

****

SCOPE OF SEARCH:

X UNRESTRICTED (ADB)

****

TYPE OF SEARCH REQUESTED:

DEC 23 1992

X ALL REFERENCES (SECURITY & CRIMINAL)

****

SPECIAL INSTRUCTIONS:

EXACT NAME ONLY (ON THE NOSE)

X ALL VARIATIONS

****

Subject: SAMUEL RICHARD BERGER
AKA (s): SANDY NR
DOB & POB: 10/28/45 - SHARON, CT
SSAN: UNKNOWN
Localities: NY

R# 571 Date 12/23 Searcher Initials [redacted]

Prod. _____

_____ ident adb inactive ref.
date

	Richard NR				
[redacted]	87-145861	See Lotk			5-1-78
	190-57715	See Lotk			
	Sandy				
	NO (NR)				5-1-78
	~~[redacted]~~				

b6
b7C

DEC 23 1992

[redacted]

IDENT CHECK ROOM 1126 TUBE J1, ATTN: [redacted] "TRANSITION" b6 b7C

FROM: SPECIAL INQUIRY UNIT, DIV 6, RM 4371, TL# 114
EXT: 2587 ATTN: PSS [redacted]

SUBJECT: SAMUEL RICHARD BERGER BUDED: 01/19/93

THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED TO THE SPECIAL INQUIRY UNIT, RM 4371, VIA ROUTING SLIP MARKED 'URGENT'.

SUBJECT IS DESCRIBED AS FOLLOWS: 1-15 [redacted] b6 b7C

RESULT NAME: SAMUEL RICHARD BERGER
AKA: SANDY BERGER
DOB: 10/28/45
POB: SHARON, CT
SSAN: 122-38-9468
CURRENT ADDRESS: 4228 45TH ST
WASHINGTON, DC 20016
EMPLOYMENT: HOGAN & HARTSON
555 13TH ST WASHINGTON, DC 20004

BASED UPON INFORMATION FURNISHED, A SEARCH OF THE IDENTIFICATION DIVISION FILES FAILED TO DISCLOSE ANY IDENTIFIABLE INFORMATION.

CLOSE RELATIVES

RESULT	NAME	DOB	RESIDENCE
------	LOUIS LAUFER Need DOB	UNKNOWN	* * * *, CT

UNABLE TO IDENTIFY WITH ARREST RECORD ON BASIS OF INFORMATION FURNISHED. FBI IDENTIFICATION DIVISION. JAN 15 '93 b6 b7C

CHECK CONDUCTED BY: _____, ON _____

[redacted]

IMMEDIATE ACTION

TRANSITION

TO: ELSUR - ROOM 4997, TL# 114 -(Eliminate references where possible based on DOB)
NCIC - ROOM 1328, TL# 153 - Wanted & CCH Files
Attn: [redacted]
NADDIS - ROOM 4371, DATA BANKS BOX
Attn: [redacted]
NEXIS - ROOM 4371, DATA BANKS BOX
Attn: [redacted]
[redacted] - Attn: [redacted]
OCIS, [redacted] and [redacted] entered on:

FROM: SPECIAL INQUIRY - Room 4371, TL# 114 [redacted]
* [redacted] Unit Chief *

SUBJECT: SAMUEL RICHARD BERGER, BUDED: [redacted]

NEED By 3:00 PM TODAY

The Bureau has been requested to conduct an expedite investigation of the above-captioned subject, who is being considered for an unspecified Presidential appointment. The indicated unit is requested to check appropriate indices based upon available information concerning subject, employment, and all close relatives. It is requested that the results of your checks, positive or negative, be indicated in the spaces provided below, and relayed to the Special Inquiry Unit (SPIN), Room 4371, TL# 114, via routing slip marked "URGENT", on or before BUDED.

Subject is described as follows: O [redacted] 12-22 No Civil Tst 12-22

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b7E

RESULT

Name: SAMUEL RICHARD BERGER
AKA(s) SANDY
DOB: 10/28/45
POB: SHARON, CT
SSAN: UNKNOWN
Current Residence:

BASED UPON THE INFORMATION FURNISHED, A [redacted] IS DISCLOSE [redacted] DEC 22 '92

Employment: CLINTON TRANSITION TEAM

Result	Relatives Name	DOB	Residence

QW.DCFBIWAA6.NAM/BERGER, SAMUEL R .DOB/102845

DCFBIWAA6
NO NCIC WANT DOB/102845 NAM/BERGER, SAMUEL R

393

1/14/93
(Date)

TO: FBI (ATTENTION: Special Inquiry Unit, Rm. 4371

FROM: [redacted] Office of the President-elect b6 b7C

SUBJECT: FBI INVESTIGATIONS

Candidate's Name Samuel Richard Berger SSAN 122-38-9468

Date of Birth 10-28-45 Place of Birth Sharon, CT

Present Address 4228 45th Street N.W. Washington, D.C. 20016

We request:

_____ Copy of Previous Report

_____ Name Check

_____ Expanded Name Check

_____ Full-Field Investigation
Level I ___ Level II X Level III ___

_____ Limited Update

_____ Other _____

The candidate named above is being considered for:

[redacted] b6 b7C

_____ Presidential Appointment
___ Requiring Senate Confirmation
___ Not Requiring Senate Confirmation

_____ Transition Staff

_____ Other

OPM SEUT 1/15/93

Attachments:

161B-HQ-1043770-1

_____ SF-86

_____ FD-258 (Fingerprint Card)

_____ SF-86 Supplement

_____ Other

Remarks/Special Instructions:

1 ENCLOSURE

Standard Form 86
Revised December 1990
U.S.Office of Personnel Management
FPM Chapter 732

QUESTIONNAIRE FOR SENSITIVE POSITIONS (For National Security)

Form approved:
O.M.B. No. 3206-0007
NSN 7540-00-634-4036
86-110

Part 2

20 YOUR SELECTIVE SERVICE RECORD

	Yes	No
a. Are you a male born after December 31, 1959? If **"No,"** go to **21.** If **"Yes,"** go to **b.**		
b. Have you registered with the Selective Service System? If **"Yes,"** provide your registration number. If **"No,"** show the reason for your legal exemption below.		

Registration Number | Legal Exemption Explanation

21 YOUR MILITARY RECORD

	Yes	No
a. Have you ever received other than an honorable discharge from the military? If **"Yes,"** provide: **Date of Discharge *(Month and Year)*:** **Type of Discharge:**		X
b. Have you ever been subject to court-martial or other disciplinary proceedings under the Uniform Code of Military Justice? If **"Yes,"** list **any** disciplinary proceedings in the last 15 years and **all** courts-martial. (Include non-judicial and Captain's mast, etc.)		X

Month/Year	Charge or Specification / Action Taken	Place *(City and county/country if outside the United States)*	State

22 YOUR EMPLOYMENT RECORD

Has any of the following happened to you in **the last 15 years**? If **"Yes,"** begin with the most recent occurrence and go backward, providing date fired, quit, or left, and other information requested.

Yes	No
	X

Use the following codes and explain the reason your employment was ended:

1 - Fired from a job
2 - Quit a job after being told you'd be fired
3 - Left a job by mutual agreement following allegations of misconduct
4 - Left a job by mutual agreement following allegations of unsatisfactory performance
5 - Left a job for other reasons under unfavorable circumstances

Month/Year	Code	Specify Reason	Employer's Name and Address	State	ZIP Code

23 YOUR POLICE RECORD *(Do not include anything that happened before your 16th birthday.)*

	Yes	No
a. Have you ever been charged with or convicted of any felony offense?		X
b. Have you ever been charged with or convicted of a firearms or explosives offense?		X
c. Are there currently any charges pending against you for any criminal offense?		X
d. Have you ever been charged with or convicted of any offense(s) related to alcohol or drugs?		X
e. In the last 5 years, have you been arrested for, charged with, or convicted for any offense(s) not listed in response to a, b, c, or d above? *(Leave out traffic fines of less than $100.)*		X

If you answered **"Yes"** to a, b, c, d, or e above, explain your answer(s) in the space provided.

Month/Year	Offense	Action Taken	Law Enforcement Authority or Court *(City and county/country if outside the U.S.)*	State	ZIP Code

24 YOUR MEDICAL RECORD

	Yes	No
a. Have you experienced problems on or off the job because of any emotional or mental condition?	X	
b. Have you ever seen a health care professional for any of the types of problems mentioned above?	X	

If you answered "Yes" to questions **a or b**, explain below.

Month/Year	Month/Year	Explanation
1989	To 1992	for career counseling + stress management, with occasional use of alcohol ending in '91
	To	For further information, contact

Enter your Social Security Number before going to the next page → 1,22-38-1946 b6 b7C

25 ILLEGAL DRUGS AND ALCOHOL

	Yes	No
a. In the last 5 years, have you used, possessed, supplied, or manufactured any illegal drugs? When used without a prescription, illegal drugs include marijuana, cocaine, hashish, narcotics (opium, morphine, codeine, heroin, etc.), stimulants (cocaine, amphetamines, etc.), depressants (barbiturates, methaqualone, tranquilizers, etc.), hallucinogenics (LSD, PCP, etc.). *(NOTE: The information you provide in response to this question will not be provided for use in any criminal proceedings against you.)*		X
b. Have you experienced problems (disciplinary actions, evictions, formal complaints, etc.) on or off a job from your use of illegal drugs or alcohol?		X

If you answered "Yes" to question a or b above, provide information relating to the types of substance(s), the nature of the activity, and any other details relating to your involvement with illegal drugs or alcohol. Include any treatment or counseling received.

Month/Year Month/Year	Type of Substance	Explanation
To		
To		
To		

26 YOUR INVESTIGATIONS RECORD

	Yes	No
a. Has the United States Government ever investigated your background? If **"Yes,"** use the codes that follow to provide the requested information below. If **"Yes,"** but you can't recall the investigating agency and/or the security clearance received, enter **"Other"** agency code or clearance code, as appropriate, and **"Don't know"** or **"Don't recall"** under the **"Other Agency"** heading, below. If your response is **"No,"** or you don't know or can't recall if you were investigated and cleared, check the **"No"** box.	X	

Codes for Investigating Agency
1 - Defense Department
2 - State Department
3 - Office of Personnel Management
4 - FBI
5 - Treasury Department
6 - Other *(Specify)*

Codes for Security Clearance Received
0 - Not Required
1 - Confidential
2 - Secret
3 - Top Secret
4 - Sensitive Compartmented Information
5 - Q-Sensitive
6 - Q-Nonsensitive
7 - L
8 - Other

Month/Year	Agency Code	Other Agency	Clearance Code	Month/Year	Agency Code	Other Agency	Clearance Code
1977	2		3				

	Yes	No
b. To your knowledge, have you ever had a clearance or access authorization denied, suspended, or revoked, or have you ever been debarred from government employment? If **"Yes,"** give date of action and agency.		X

Month/Year	Department or Agency Taking Action	Month/Year	Department or Agency Taking Action

27 YOUR FINANCIAL RECORD

	Yes	No
a. In the last 5 years, have you, or a company over which you exercised some control, filed for bankruptcy, been declared bankrupt, been subject to a tax lien, or had a legal judgment rendered against you for a debt? If you answered **"Yes,"** provide date of initial action and other information requested below.		X

Month/Year	Type of Action	Name Action Occurred Under	Name/Address of Court or Agency Handling Case	State	ZIP Code

	Yes	No
b. Are you now over 180 days delinquent on any loan or financial obligation? Include loans or obligations funded or guaranteed by the Federal Government. *(If an SF 171, Application for Federal Employment, will be attached, you do not need to repeat Federal Government delinquencies. See the instructions headed, "How is the SF 171 used with this form?")*		X

If you answered **"Yes,"** provide the information requested below:

Month/Year	Type of Loan or Obligation and Account #	Name/Address of Creditor or Obligee	State	ZIP Code

Enter your Social Security Number before going to the next page → 121-38-9468

12 PEOPLE WHO KNOW YOU WELL

List **two people** who know you well and live in the United States.

- Don't list spouse, other relatives, or former spouses.
- Try not to list anyone mentioned in item 9, 10, or 11.

	Name	Number Years Known	Telephone Number:
#1	MR. ELI SEGAL	20	( ) Day ( ) or Night ( )
Home Address	City (Country)	State	ZIP Code
314 DARTMOUTH ST.	BOSTON	MA	02116
#2	Name	Number Years Known	Telephone Number: b6 b7C
Home Address	City (Country)	State	ZIP Code

13 YOUR OUTSIDE ACTIVITIES

List any activities which you may wish to have considered as reflecting favorably on your reputation for leadership, responsibility, honesty, and integrity **in the last 15 years. (Response Optional)**

	Month/Year Month/Year	Activity	Location of Activity: City (Country)	State
#1	1985 To 1992	TRUSTEE, TEMPLE SINAI	WASHINGTON	DC
#2	1986 To 1992	BD OF DIR, INTERNATIONAL HUMAN RIGHTS LAW GP	WASHINGTON	DC
#3	1983 To Present	MEMBER, COUNCIL ON FOREIGN RELATIONS	NEW YORK	NY

14 YOUR FOREIGN ACTIVITIES

		Yes	No
a.	Do you have any foreign property, business connections, or financial interests?		X
b.	Are you now or have you ever been employed by or acted as a consultant for a foreign government, firm, or agency?	X	
c.	In the last 15 years, have you had continuing contact with a national of any foreign country designated by the agency instructing you to fill out this form? **(NOTE: If the agency wants you to answer this question, it will provide you with a list of countries.)**		

If you answered "Yes" to a, b, or c, explain in the space below:

Registered under Foreign AGENTS REGISTRATION ACT for work done at Hogan + Hartson for Ministry of Finance Gov't of Poland (1989)

15 FOREIGN COUNTRIES YOU HAVE VISITED

List foreign countries you have visited, **beginning with the most current (#1) and working backward 15 years.**

- Do **not** include countries covered in items 9, 10, and 11.
- In the "Code" block, use one of these **codes: 1 - Business 2 - Pleasure 3 - Education 4 - Other**

	Month/Year Month/Year	Code	Country		Month/Year Month/Year	Code	Country
#1	1982 To 1992	1	Japan - 1 trip/year for approximately 1 wk.	#3	12/91 To	2	Mexico
#2	1979 To 1991	2	Barbados 1 Trip/year for approx. 1 wk.	#4	11/91 To	1	Poland

16 YOUR MILITARY HISTORY

		Yes	No
a.	Have you served in the United States military?	X	
	Have you served in the United States Merchant Marine?		X

- If your answer to both questions is "No," **GO TO QUESTION 17.**
- If your answer to either question is "Yes," **GO TO b.**

b. Starting with the most current (#1) and working backward, enter information for **all** periods of active service into the table below.

- Mark "O" block for Officer or "E" block for Enlisted.
- In the "Code" block, use one of these **codes:**

1 - Air Force 2 - Army 3 - Navy 4 - Marine Corps 5 - Coast Guard 6 - Merchant Marine 7 - National Guard

	Month/Year Month/Year	Code	Service/Certificate #	O	E	Status (Mark "X" in appropriate blocks - use State Code for National Guard) None	Active Duty	Active Reserve	National Guard (show State)	Inactive Reserve	Retired
#1	1968 To 1974	2			X			X			
#2	To										
#3	To										
#4	To										

Enter your Social Security Number before going to the next page → 122-38-1468

17 YOUR RELATIVES

Give full names and enter the correct code for all relatives, living or dead, specified below:

1 - Mother *(first)* 4 - Stepfather 7 - Stepchild 10 - Stepbrother 13 - Half-sister 16 - Guardian
2 - Father *(second)* 5 - Foster parent 8 - Brother 11 - Stepsister 14 - Father-in-law
3 - Stepmother 6 - Child *(adopted also)* 9 - Sister 12 - Half-brother 15 - Mother-in-law

Full Name *(If deceased, check box on the left before entering name)*	Code	Date of Birth Month/Day/Year	Country of Birth	Country of Citizenship	Current Street Address and City *(country)* of Living Relatives	State
☒ Rose Lehrman Berger Laufer	1	7/23/10	U.S.	U.S.		
☒ ALBERT AARON BERGER	2	10/05/09	U.S.	U.S.		
☐ Louis Laufer	4	unk.	U.S.	U.S.		
☐						
☐						
☐						
☐						
☐						
☒ MELVIN HARRISON	14	3/16/18	U.S.	U.S.		

18 YOUR MARITAL STATUS

Mark one of the following boxes to show your current marital status:

☐ 1 - Never married *(go to question 19)* ☐ 3 - Separated ☐ 5 - Divorced
☒ 2 - Married ☐ 4 - Legally Separated ☐ 6 - Widowed

b6
b7C

Current Spouse Complete the following about your current spouse.

Full Name | Date of Birth | Place of Birth *(Include country if outside the U.S.)* | Social Security Number

Other Names Used *(Specify maiden name, names by other marriages, etc., and show dates used for each name)*

Country of Citizenship | Date Married | Place Married *(Include country if outside the U.S.)* | State

If Separated, Date of Separation *(Mo./Day/Yr.)* | If Legally Separated, Where is the Record Located? City *(Country)* | State

Address of Current Spouse *(Street, city, and country if outside the U.S.)* | State | ZIP Code

Former Spouse(s) Complete the following about your former spouse(s), use blank sheets if needed.

Full Name	Date of Birth	Place of Birth *(Include country if outside the U.S.)*	State
Country of Citizenship	Date Married	Place Married *(Include country if outside the U.S.)*	State
Check One, Then Give Date ☐ Divorced ☐ Widowed	Month/Day/Year	If Divorced, Where is the Record Located? City *(Country)*	State

Address of Former Spouse *(Street, city, and country if outside the U.S.)* | State | ZIP Code

19 PERSONS LIVING WITH YOU

Does the citizen of another country, or a United States citizen by other than birth, live at your residence? If **"Yes,"** provide the information required below. If a United States citizen by other than birth lives with you, show both **"United States"** and prior country of citizenship below. Don't list your spouse or other relatives you provided in question 17.

Yes	No

Name of Person	Country of Citizenship	Relationship

This concludes Part 1 of this form. If you have used Page 9, continuation sheets, or blank sheets to complete any of the questions in Part 1, give the number for those questions in the space to the right: → 15, 17

Enter your Social Security Number before going to the next page → 122-38-9468

11 YOUR EMPLOYMENT ACTIVITIES

Fill in your employment activities, beginning with the present (#1) **and working backward 15 years. INCLUDE:**

- all full-time work
- all part-time work
- all paid work
- active military duty
- self-employment
- all periods of unemployment

IN THE NUMBERED ACTIVITY SECTION USE ONE OF THESE CODES IN THE CODE BLOCK:

1 - Active military duty stations
2 - National Guard/Reserve
3 - U.S.P.H.S. Commissioned Corps
4 - Other Federal employment
5 - State Government (Non-Federal) employment
6 - Self-employment (Enter business name and/or name of person who can verify)
7 - Unemployment (Enter name of person who can verify)
8 - Federal Contractor (list Contractor, not Federal agency)
9 - Other

FOR EACH ACTIVITY SECTION, provide information requested. **For example,** if you had worked at XY Plumbing in Denver, CO, for 3 separate periods of time, you would enter dates and information concerning the most recent period of employment first, and provide dates, position titles, and supervisors for the two previous periods of employment in the appropriate blocks below that information. (For locations outside the U.S., show city and country.)

#1 Month/Year Month/Year: Present To 1981 | Code: 6 | Employer's Name/Military Service/Unemployment or Self-Employment Verifier: HOGAN & HARTSON | Your Position Title: PARTNER (183-'93)

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
555 13th ST, N.W.	WASHINGTON	DC	20010104	(202)637-5600
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number
				( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number
				( )

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year	Your Position Title & Supervisor's Name	Month/Year Month/Year	Your Position Title & Supervisor's Name
1/73 To 8/77	associate	To	
To		To	

b6
b7C

#2 Month/Year Month/Year: 8/77 To 1/81 | Code: 4 | Employer's Name/Military Service/Unemployment or Self-Employment Verifier: U.S. DEPARTMENT OF STATE | Your Position Title: DEPUTY DIRECTOR POLICY PLANNING STAFF

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
23rd & C ST, N.W.	WASHINGTON	DC		
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number
				( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year	Your Position Title & Supervisor's Name	Month/Year Month/Year	Your Position Title & Supervisor's Name
To		To	
To		To	

#3 Month/Year Month/Year: To | Code: | Employer's Name/Military Service/Unemployment or Self-Employment Verifier: | Your Position Title:

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
				( )
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number
				( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number
				( )

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year	Your Position Title & Supervisor's Name	Month/Year Month/Year	Your Position Title & Supervisor's Name
To		To	
To		To	

Enter your Social Security Number before going to the next page → 127-38-1465

YOUR EMPLOYMENT ACTIVITIES (Continued)

#4

Month/Year Month/Year To	Code	Employer's Name/Military Service/Unemployment or Self-Employment Verifier	Your Position Title

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number ( )

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year To	Your Position Title & Supervisor's Name	Month/Year Month/Year To	Your Position Title & Supervisor's Name
To		To	

#5

Month/Year Month/Year To	Code	Employer's Name/Military Service/Unemployment or Self-Employment Verifier	Your Position Title

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number ( )

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year To	Your Position Title & Supervisor's Name	Month/Year Month/Year To	Your Position Title & Supervisor's Name
To		To	

#6

Month/Year Month/Year To	Code	Employer's Name/Military Service/Unemployment or Self-Employment Verifier	Your Position Title

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number ( )

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year To	Your Position Title & Supervisor's Name	Month/Year Month/Year To	Your Position Title & Supervisor's Name
To		To	

#7

Month/Year Month/Year To	Code	Employer's Name/Military Service/Unemployment or Self-Employment Verifier	Your Position Title

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number ( )

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year To	Your Position Title & Supervisor's Name	Month/Year Month/Year To	Your Position Title & Supervisor's Name
To		To	

Enter your Social Security Number before going to the next page → 121-38-9468

13 YOUR SPOUSE

Mark one box to show your current marital status and provide information about your spouse(s) in items a, and/or b.

☐ 1 - Never married ☒ 2 - Married ☐ 3 - Separated ☐ 4 - Legally Separated ☐ 5 - Divorced ☐ 6 - Widowed

a Current Spouse Complete the following about your current spouse.

Full Name	Date of Birth	Place of Birth *(Include country if outside the U.S.)*	Social Security Number
No change since last investigation 2/93			

Other Names Used *(Specify maiden name, names by other marriages, etc., and show dates used for each name)*	Country(ies) of Citizenship

Date Married	Place Married *(Include country if outside the U.S.)*	State

If Separated, Date of Separation	If Legally Separated, Where is the Record Located? City *(Country)*	State

Address of Current Spouse, if different than your current address *(Street, city, and country if outside the U.S.)*	State	Zip Code

b Former Spouse(s) Complete the following about your former spouse(s), use blank sheets if needed.

Full Name	Date of Birth	Place of Birth *(Include country if outside the U.S.)*	State

Country(ies) of Citizenship	Date Married	Place Married *(Include country if outside the U.S.)*	State

Check One, Then Give Date ☐ Divorced ☐ Widowed	Month/Day/Year	If Divorced, Where is the Record Located? City *(Country)*	State

Address of Former Spouse *(Street, city, and country if outside the U.S.)*	State	Zip Code	Telephone Number

14 YOUR RELATIVES AND ASSOCIATES

Give full name, correct code, and other requested information for each of your relatives and associates, living or dead, specified below.

1 - Mother *(first)*
2 - Father *(second)*
3 - Stepmother
4 - Stepfather
5 - Foster parent
6 - Child *(adopted also)*
7 - Stepchild
8 - Brother
9 - Sister
10 - Stepbrother
11 - Stepsister
12 - Half-brother
13 - Half-sister
14 - Father-in-law
15 - Mother-in-law
16 - Guardian
17 - Other Relative*
18 - Associate*
19 - Adult Currently Living With You

*Code 17 (Other Relative)-include only foreign national relatives not listed in 1-16 with whom you or your spouse are bound by affection, obligation, or close and continuing contact. Code 18 (Associates)-include only foreign national associates with whom you or your spouse are bound by affection, obligation, or close and continuing contact.

Full Name (if deceased, check box on the left before entering name)	Code	Date of Birth Month/Day/Year	Country of Birth	Country(ies) of Citizenship	Current Street Address and City *(country)* of Living Relatives	State
☐ Only changes to last investigation listed below	1					
☐ Louis Laufer (deceased)	2					
☐ Zelda Harrison (new address)					1953 N. Honore Ave Sarasota, Fla 34235	
☐						
☐						
☐						
☐						
☐						
☐						
☐						
☐						
☐						

Enter your Social Security Number before going to the next page → 122-38-9468

15 CITIZENSHIP OF YOUR RELATIVES AND ASSOCIATES

If your mother, father, sister, brother, child, or current spouse or person with whom you have a spouse-like relationship is a U.S. citizen by other than birth, or an alien residing in the U.S., provide the nature of the individual's relationship to you (Spouse, Spouse-like, Mother, etc.), and the individual's name and date of birth on the first line *(this information is needed to pair it accurately with information in items 13 and 14).*

On the senond line, provide the individual's naturalization certificate or alien registration number and use one of the document codes below to identify proof of citizenship status. Provide additional information on that line as requested.

1. **Naturalization Certificate:** Provide the date issued and the location where the person was naturalized (Court, City and State).
2. **Citizenship Certificate:** Provide the date and location issued (City and State).
3. **Alien Registration:** Provide the date and place where the person entered the U.S. (City and State).
4. **Other:** Provide an explanation in the "Additional Information" block.

Association #1 No changes since 2/93	Name	Date of Birth (Month/Day/Year)
Certificate/Registration #	Document Code / Additional Information	
Association #2	Name	Date of Birth (Month/Day/Year)
Certificate/Registration #	Document Code / Additional Information	

16 YOUR MILITARY HISTORY

	Yes	No
a Have you served in the United States military?	X	
b Have you served in the United States Merchant Marine?		X

List all of your military service below, including service in Reserve, National Guard, and U.S. Merchant Marine. Start with the most recent period of service (#1) and work backward. If you had a break in service, each separate period should be listed.

- **Code.** Use one of the codes listed below to identify your branch of service:
  1 - Air Force 2 - Army 3 - Navy 4 - Marine Corps 5 - Coast Guard 6 - Merchant Marine 7 - National Guard
- **O/E.** Mark "O" block for Officer or "E" block for Enlisted.
- **Status.** "X" the appropriate block for the status of your service during the time that you served. If your service was in the National Guard, do not use an "X": use the two-letter code for the state to mark the block.
- **Country.** If your service was with other than U.S. Armed Forces, identify the country for which you served.

Month/Year Month/Year	Code	Service/Certificate #	O	E	Status: Active	Status: Active Reserve	Status: Inactive Reserve	Status: National Guard *(State)*	Country
Jan/68 To Jan/74	2	US ARMY/not aval.		X		X			USA
To									

17 YOUR FOREIGN ACTIVITIES

	Yes	No
a Do you have any foreign property, business connections, or financial interests?		X
b Are you now or have you ever been employed by or acted as a consultant for a foreign government, firm, or agency?	X	
c Have you ever had any contact with a foreign government, its establishments (embassies or consulates), or its representatives, whether inside or outside the U.S., other than on official U.S. Government business? (Does not include routine visa applications and border crossing contacts.)	X	
d In the last 7 years, have you had an active passport that was issued by a foreign government?		X

If you answered "Yes" to a, b, c, or d above, explain in the space below: provide inclusive dates, names of firms and/or governments involved, and an explanation of your involvement.

Month/Year Month/Year	Firm and/or Government	Explanation
To		same as last investigation 2/93
Month/Year Month/Year	Firm and/or Government	Explanation
To		

17 FOREIGN COUNTRIES YOU HAVE VISITED

List foreign countries you have visited, except on travel under official Government orders, beginning with the most current (#1) and working back 7 years. (Travel as a dependent or contractor must be listed.)

- Use one of these codes to indicate the purpose of your visit: 1 - Business 2 - Pleasure 3 - Education 4 - Other
- Include short trips to Canada or Mexico. If you have lived near a border and have made short (one day or less) trips to the neighboring country, you do not need to list each trip. Instead, provide the time period, the code, the country, and a note ("Many Short Trips").
- Do not repeat travel covered in items 9, 10, or 11.

Month/Year Month/Year	Code	Country	Month/Year Month/Year	Code	Country
#1 Mar/98 To Mar/98	2	England	#3 To		
#2 Jun/96 To Jun/96	2	Italy	#4 To		

This concludes Part 1 of this form. If you have used Page 9, continuation sheets, or blank sheets to complete any of the questions in Part 1, give the number for those questions in the space to the right:

Enter your Social Security Number before going to the next page → 122-38-9468

Standard Form 86
Revised September 1995
U.S. Office of Personnel Management
5 CFR Parts 731, 732, and 736

QUESTIONNAIRE FOR NATIONAL SECURITY POSITIONS

Form approved:
O.M.B. No 3206-0007
NSN 7540-00-634-4036
86-111

Part 2

OFFICIAL USE ONLY

19 YOUR MILITARY RECORD

	Yes	No
Have you ever received other than an honorable discharge from the military? If "Yes," provide the date of discharge and type of discharge below.		X

Month/Year	Type of Discharge

20 YOUR SELECTIVE SERVICE RECORD

	Yes	No
a Are you a male born after December 31, 1959? If "No," go to 21. If "Yes," go to b.		X
b Have you registered with the Selective Service System? If "Yes," provide your registration number. If "No," show the reason for your legal exemption below.		

Registration Number	Legal Exemption Explanation

21 YOUR MEDICAL RECORD

	Yes	No
In the last 7 years, have you consulted with a mental health professional (psychiatrist, psychologist, counselor, etc.) or have you consulted with another health care provider about a mental health related condition?		X

If you answered "Yes", provide the dates of treatment and the name and address of the therapist or doctor below, unless the consultation(s) involved only marital, family, or grief counseling, not relating to violence by you.

Month/Year Month/Year	Name/Address of Therapist or Doctor	State	Zip Code
To			
To			

22 YOUR EMPLOYMENT RECORD

	Yes	No
Has any of the following happened to you **in the last 7 years?** If "Yes," begin with the most recent occurrence and go backward, providing date fired, quit, or left, and other information requested.		X

Use the following codes and explain the reason your employment was ended:
1 - Fired from a job
2 - Quit a job after being told you'd be fired
3 - Left a job by mutual agreement following allegations of misconduct
4 - Left a job by mutual agreement following allegations of unsatisfactory performance
5 - Left a job for other reasons under favorable circumstances

Month/Year	Code	Specify Reason	Employer's Name and Address *(Include city/Country if outside U.S.)*	State	Zip Code

23 YOUR POLICE RECORD

	Yes	No
For this item, report information regardless of whether the record in your case has been "sealed" or otherwise stricken from the court record. The single exception to this requirement is for certain convictions under the Federal Controlled Substances Act for which the court issued an expungement order under the authority of 21 U.S.C. 844 or 18 U.S.C. 3607.		
a Have you ever been charged with or convicted of any felony offense? (Include those under Uniform Code of Military Justice)		X
b Have you ever been charged with or convicted of a firearms or explosives offense?		X
c Are there currently any charges pending against you for any criminal offense?		X
d Have you ever been charged with or convicted of any offense(s) related to alcohol or drugs?		X
e In the last 7 years, have you been subject to court martial or other disciplinary proceedings under the Uniform Code of Military Justice? (Include non-judicial, Captain's mast, etc.)		X
f In the last 7 years, have you been arrested for, charged with, or convicted of any offense(s) not listed in response to a, b, c, d, or e above? (Leave out traffic fines of less than $150 unless the violation was alcohol or drug related.)		X

If you answered "Yes" to a, b, c, d, e, or f above, explain below. Under "Offense", do not list specific penalty codes, list the actual offense or violation (for example, arson, theft, etc.)

Month/Year	Offense	Action Taken	Law Enforcement Authority/Court *(Include City and county/country if outside U.S.)*	State	Zip Code

Enter your Social Security Number before going to the next page → 122-38-9468

24 YOUR USE OF ILLEGAL DRUGS AND DRUG ACTIVITY

	Yes	No
The following questions pertain to the illegal use of drugs or drug activity. You are required to answer the questions fully and truthfully, and your failure to do so could be grounds for an adverse employment decision or action against you, but neither your truthful responses nor information derived from your responses will be used as evidence against you in any subsequent criminal proceeding.		
a Since the age of 16 or in the last 7 years, whichever is shorter, have you illegally used any controlled substance, for example, marijuana, cocaine, crack cocaine, hashish, narcotics (opium, morphine, codeine, heroin, etc.), amphetamines, depressants (barbiturates, methaqualone, tranquilizers, etc.), hallucinogenics (LSD, PCP, etc,), or prescription drugs?		X
b Have you ever illegally used a controlled substance while employed as a law enforcement officer, prosecutor, or courtroom official; while possessing a security clearance; or while in a position directly and immediately affecting the public safety?		X
c In the last 7 years, have you been involved in the illegal purchase, manufacture, trafficking, production, transfer, shipping, receiving, or sale of any narcotic, depressant, stimulant, hallucinogen, or cannabis for your own intended profit or that of another?		X

If you answered "Yes" to a or b above, provide the date(s), identify the controlled substance(s) and/or prescription drugs used, and the number of times each was used.

Month/Year Month/Year	Controlled Substances/Prescription Drug Used	Number of Times Used
To		
To		

25 YOUR USE OF ALCOHOL

	Yes	No
In the last 7 years, has your use of alcohol beverages (such as liquor, beer, wine) resulted in any alcohol-related treatment or counseling (such as for alcohol abuse or alcoholism?)		X

If you answered "Yes", provide the dates of treatment and the name and address of the counselor or doctor below. Do not repeat information reported in response to item 21 above.

Month/Year Month/Year	Name/Address of Counselor or Doctor	State	Zip Code
To			
To			

26 YOUR INVESTIGATIONS RECORD

	Yes	No
a Has the United States Government ever investigated your background and/or granted you a security clearance? If **"Yes,"** use the codes that follow to provide the requested information below. If **"Yes,"** but you can't recall the investigating agency and/or the security clearance received, enter **"Other"** agency code or clearance code, as appropriate, and **"Don't know"** or **"Don't recall"** under the **"Other Agency"** heading, below. If your response is **"No,"** or you don't know or can't recall if you were investigated and cleared, check the **"No"** box.	X	

Codes for Investigating Agency
1 - Defense Department
2 - State Department
3 - Office of Personnel Management
4 - FBI
5 - Treasury Department
6 - Other *(Specify)*

Codes for Security Clearance Received
0 - Not Required
1 - Confidential
2 - Secret
3 - Top Secret
4 - Sensitive Compartmented Information
5 - Q
6 - L
7 - Other

Month/Year	Agency Code	Other Agency	Clearance Code	Month/Year	Agency Code	Other Agency	Clearance Code
Feb/93	4	-------	4				

b To your knowledge, have you ever had a clearance or access authorization denied, suspended, or revoked, or have you ever been debarred from government employment? If **"Yes,"** give date of action and agency. **Note:** An administrative downgrade or termination of a security clearance is not a revocation.

Month/Year	Department or Agency Taking Action	Month/Year	Department or Agency Taking Action

27 YOUR FINANCIAL RECORD

	Yes	No
a In the last 7 years, have you filed a petition under any chapter of the bankruptcy code (to include Chapter 13)?		X
b In the last 7 years, have you had your wages garnished or had any property repossessed for any reason?		X
c In the last 7 years, have you had a lien placed against your property for failing to pay taxes or other debts?		X
d In the last 7 years, have you had any judgments against you that have not been paid?		X

If you answered "Yes" to a, b, c, or d, provide the information requested below:

Month/Year	Type of Action	Amount	Name Action Occurred Under	Name/Address of Court or Agency Handling Case	State	Zip Code

Enter your Social Security Number before going to the next page → 122-38-9468

28 YOUR FINANCIAL DELINQUENCIES

	Yes	No
a In the last 7 years, have you been over 180 days delinquent on any debt(s)?		X
b Are you currently over 90 days delinquent on any debt(s)?		X

If you answered "**Yes**" to a or b, provide the information requested below:

Incurred Month/Year	Satisfied Month/Year	Amount	Type of Loan or Obligation and Account Number	Name/Address of Creditor or Obligee	State	Zip Code

29 PUBLIC RECORD CIVIL COURT ACTIONS

	Yes	No
In the last 7 years, have you been a party to any public record civil court actions not listed elsewhere on this form?		X

If you answered "Yes", provide the information about the public record civil court action requested below.

Month/Year	Nature of Action	Result of Action	Name of Parties Involved	Court *(Include City and county/country if outside U.S.)*	State	Zip Code

30 YOUR ASSOCIATION RECORD

	Yes	No
a Have you ever been an officer or a member or made a contribution to an organization dedicated to the violent overthrow of the United States Government and which engages in illegal activities to that end, knowing that the organization engages in such activities with the specific intent to further such activities?		X
b Have you ever knowingly engaged in any acts or activities designed to overthrow the United States Government by force?		X

If you answered "Yes" to a or b, explain in the space below.

Continuation Space

Use the continuation sheet(s) (SF 86A) for additional answers to items 9,10, and 11. Use the space below to continue answers to all other items and any information you would like to add. If more space is needed than is provided below, use the blank sheet(s) of paper. Start each sheet with your name and Social Security Number. Before each answer, identify the number of the item.

After completing Parts 1 and 2 of this form and any attachments, you should review your answers to all questions to make sure the form is complete and accurate, and then sign and date the following certification and sign and date the release on page 10.

Certification That My Answers Are True

My statements on this form, and any attachments to it, are true, complete, and correct to the best of my knowledge and belief and are made in good faith. I understand that a knowing and willful false statement on this form can be punished by fine or imprisonment or both. (See section 1001 of title 18, United States Code).

Signature *(Sign in ink)*	Date
Samuel R. Berger	5/2/99

Enter your Social Security Number before going to the next page → 122-38-9468

Berger (Bureau)

ELECTRONIC CASE FILE

Case Reclassification

03/30/1999

RUN BY: [redacted]

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Case ID (with new class)	Documents	Old Class : 161B
161F-HQ-1043770	2	
Total Documents Reclassified :	2	

+--+
ÎYour system has terminated due to program failure.Î
ÎPlease record the information on this screen and Î
Îcontact the Service Support Center at Î
Î(202) 324-1500. Î
+--+

Program name UNI020P2
Error number 3009
Error line 5070
Time 08:31:35
Date 03/30/99

****** Record Information ******
OLD CASE ID: 161B-HQ-1043770
NEW CASE ID: 161F-HQ-1043770

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE 06/09/1999 **Date:** 03/31/1999

To: Newark
New York
Washington Field **Attn:** Squad A-1

From: Administrative Services
Special Inquiry and General Background Investigations Unit (SIGBIU), Room 4371
Contact: PSS [redacted] Extension 2622

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b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 161F-HQ-1043770 ~~(Pending)~~

Title: SAMUEL RICHARD BERGER
AKA Sandy
LEVEL II-WHS

Synopsis: Initiation of full-field background investigation (FFI) on captioned candidate.

Administrative: BUDED is 6/9/99

RECEIVING OFFICES ARE TO ENSURE THAT A COPY OF THIS EC IS PROVIDED TO EACH INDIVIDUAL CONDUCTING INVESTIGATION IN CAPTIONED MATTER. ADDITIONALLY, WHEN SENDING FOLLOW-UP LEADS TO OTHER FIELD OFFICES NOT KNOWN TO BE INVOLVED IN CAPTIONED MATTER, "ENSURE" THAT A COPY OF THIS EC IS PROVIDED TO THOSE FIELD OFFICES AND THAT THIS EC SERIAL IS REFERENCED.

Field offices should also refer to the investigative guidelines set forth in MIOG, Part I, Section 161, and Part II, Section 17, for additional assistance in conducting investigation in captioned matter.

I. CANDIDATE INTERVIEWS

Regardless of the scope, i.e., the timeframe, to be addressed in candidate's FFI, the "INITIAL" candidate interview is to address each of those areas set forth in MIOG, Part II,

161F-HQ-1043770-4

Section 17-5.6(2)(a)-(o), for the candidate's entire adult life, i.e., since his/her 18th birthday, EXCEPT FOR COUNSELING. Only information pertaining to counseling received by the candidate "WITHIN THE SCOPE OF THE FFI (but not prior to his/her 18th birthday)" is to be solicited and addressed, and then, only as specifically set forth below under the "COUNSELING/COUNSELOR INTERVIEWS" section.

When addressing each of the areas with the candidate, he/she is to be advised that responses to all questions asked are to address candidate's entire adult life (i.e.,since his/her 18th birthday), except for counseling which must be addressed as set forth in Section II, "Counseling/Counselor Interviews", below. The fact that questions addressing each of the areas were asked, as well as candidate's responses thereto and knowledge of their scope, must be clearly set forth in the FD-302 reflecting the results of the candidate's interview.

If the candidate refuses to answer any question, that is to be clearly set forth in the FD-302 reflecting the results of the candidate's interview. An effort should be made to obtain from the candidate an explanation for refusing to answer and, if provided, the explanation is also to be reported in the FD-302. If the candidate refuses to provide an explanation, that also is to be reported. Thereafter, no further efforts to obtain a response to the question candidate refused to answer should be made, unless instructed by SIGBIU, FBIHQ.

II. COUNSELING/COUNSELOR INTERVIEWS

A. Counseling information to be solicited from the candidate is to be limited only to that information set forth in questions 21 and 25 of candidate's SF-86, except that the information is to cover "only" the scope of candidate's FFI (but not prior to his/her 18th birthday). For example, if the scope of candidate's FFI is 15 years, then counseling information solicited from the candidate, and to be addressed in the FFI, must be limited to the last 15 years or since candidate's 18th birthday, whichever is less. Counseling which occurred outside the scope of the candidate's FFI is "not" to be solicited or addressed, unless otherwise instructed by SIGBIU, FBIHQ.

NOTE: Policy also prohibits marriage, family, or grief counseling from being solicited and addressed, except where violence by the candidate is involved.

B. For interviews of counselors, a copy of an executed "Authorization for Release of Medical Information" form must be utilized. NOTE: The questions which can be asked of counselors are limited. In addition to verifying the dates of the counseling, the questions asked are to be "limited only to the three questions set forth on the aforementioned release." The counselor is to be instructed to provide only that information he/she believes is responsive to each of the three questions. Each question is to be specifically asked and answered, and responses to each clearly reported in the FD-302/insert reflecting the interview results.

Because information concerning counseling is limited to the scope of the FFI, if the candidate voluntarily provides counseling information which occurred outside the scope of the BI, that information is to be fully explored with the candidate only during his/her interview, recorded and reported. However, no additional investigation is to be conducted concerning the information, unless instructed to do so by SIGBIU, FBIHQ. The fact that the information beyond the scope of the FFI was volunteered by the candidate, and not solicited (except as further explored with the candidate) by the FBI, must also be clearly set forth in the FD-302 reflecting the results of the candidate's interview.

Ensure to conduct investigation as set forth under the "Leads" section herein and/or as marked on the enclosed SF-86.

Field offices are reminded that neither the investigative status of a background investigation nor any deadlines are to be disclosed to the candidate or any interviewees. Candidates making inquiries of the status of their investigation are to be referred to the client entity

Direct results/questions to PSS [redacted] Advise SIGBIU (PSS [redacted] and appropriate field offices of any derogatory information in accordance with MIOG, Part II, Section 17-5.1(1). If Buded will not be met, telephonically advise PSS [redacted] and set forth reason(s) in **Administrative Section** of investigative

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report. SIGBIU facsimile numbers are (202) 324-2574 and (202) 324-1373.

Enclosures: Being forwarded to each field office with a hard copy of this EC, via Bureau mail, is one copy each of the following: candidate's SF-86 dated 3/2/99, Authorization for Release of Information dated 3/2/99.

Details: Bureau has been requested by the WH to conduct a Level II 5-year update BI of candidate. The candidate's last BI was completed in 2/93. Update from that point.

LEAD (s):

Set Lead 1:

NEWARK

AT NEWARK, NJ

Check indices on candidate and relatives in territory.

Set Lead 2:

NEW YORK

AT NEW YORK, NY

Check indices on candidate and relatives in territory.

Set Lead 3:

WFO

AT WASHINGTON, DC

Interview candidate in accordance with the attached guidelines. Determine what bars he is a member of and set leads for verification and to check for grievances and complaints. Also, determine if he still owns a cabin in Shenandoah County near Zepp, Virginia. If he does, set leads for appropriate arrest and U.S. Attorney's Office checks.

Conduct employment investigation.

Insure that at least 7 professional associates are interviewed.

Check D.C. Bar for membership, grievances and complaints.

Check White House, U.S. Secret Service and review OPF.

Check indices on candidate and relatives in territory.

Conduct appropriate arrest and U.S. Attorney's Office checks.

CC: PSS [redacted] b6 b7C

♦♦

YOUR EMPLOYMENT ACTIVITIES (CONTINU

#4	Month/Year Month/Year To	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank
Employer's/Verifier's Street Address			City (Country)	State / ZIP Code / Telephone Number
Street Address of Job Location (if different than Employer's Address)			City (Country)	State / ZIP Code / Telephone Number
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State / ZIP Code / Telephone Number

PREVIOUS PERIODS OF ACTIVITY (Block #4)	Month/Year Month/Year To	Position Title	Supervisor
	Month/Year Month/Year To	Position Title	Supervisor
	Month/Year Month/Year To	Position Title	Supervisor

#5	Month/Year Month/Year To	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank
Employer's/Verifier's Street Address			City (Country)	State / ZIP Code / Telephone Number
Street Address of Job Location (if different than Employer's Address)			City (Country)	State / ZIP Code / Telephone Number
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State / ZIP Code / Telephone Number

PREVIOUS PERIODS OF ACTIVITY (Block #5)	Month/Year Month/Year To	Position Title	Supervisor
	Month/Year Month/Year To	Position Title	Supervisor
	Month/Year Month/Year To	Position Title	Supervisor

#6	Month/Year Month/Year To	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank
Employer's/Verifier's Street Address			City (Country)	State / ZIP Code / Telephone Number
Street Address of Job Location (if different than Employer's Address)			City (Country)	State / ZIP Code / Telephone Number
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State / ZIP Code / Telephone Number

PREVIOUS PERIODS OF ACTIVITY (Block #6)	Month/Year Month/Year To	Position Title	Supervisor
	Month/Year Month/Year To	Position Title	Supervisor
	Month/Year Month/Year To	Position Title	Supervisor

12 PEOPLE WHO KNOW YOU WELL

List three people who know you well and live in the United States. They should be good friends, peers, collegues, college roommates, etc., whose combined association with you covers as well as possible the last 7 years. Do not list your spouse, former spouses, or other relatives, and try not to list anyone who is listed elsewhere on this form.

	Name	Dates Known Month/Year Month/Year	Telephone Number	
#1	Mr. Eli Segal	Jan/73 To Feb/99	(✓) Day ( ) Night	(202) 955-3005 x 307
Home or Work Address		City (Country)	State	Zip Code
2315 Bancroft Place		Washington	DC	20008
#2	Name	Dates Known Month/Year Month/Year	Telephone Number (✓) Day ( ) Night	
Home or Work Address		City (Country)	State	Zip Code
#3	Name	Dates Known Month/Year Month/Year	Telephone Number (✓) Day ( ) Night	
Home or Work Address		City (Country)	State	Zip Code

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b7C

Enter your Social Security Number before going to the next page → 122-38-9468

FD-263 (Rev. 4-30-85)

83408

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
New York	Bureau	6/8/99	3/31/1999-6/08/1999

TITLE OF CASE
SAMUEL RICHARD BERGER

REPORT MADE BY
PSS [redacted] TYPED BY: [redacted] b6 b7C

CHARACTER OF CASE
LEVEL II - WHS

Reference

Bureau E.C. to NY dated, 4/29/1999. (161FHQ1043770-4)

- ALL LEADS COVERED -

Administrative

A search of the New York Office General Indices revealed no identical record regarding the appointees listed relatives [redacted] However, there was and identical record to the appointee, SAMUEL RICHARD BERGER. On February 8, 1996, WFO initiated a preliminary investigation [redacted] on Mr BERGER based on his contact with [redacted] (subject of a full investigation [redacted] (subject of full investigation [redacted] The case was closed July 17, 1998 with no derogatory information reported regarding the appointee. b3 b6 b7C b7E

APPROVED [redacted] ECIAL AGENT IN CHARGE

DO NOT WRITE IN SPACES BELOW

COPIES MADE:
(2) - Bureau [redacted] 1043770)
Attn.: PSS [redacted]
1 - New York (161F-HQ-1043770)

Fax Recd 6/[redacted]

ce destroyed [redacted]

DISSEMINATION RECORD OF ATTACHED REPORT				
Agency				
Request Recd.				
Date Fwd.				
How Fwd.				
By				

Notations 3 [redacted]

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COVER PAGE

161F-HQ-1043770-8

(01/26/1998)

83908

FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE 06/09/1999 **Date:** 04/21/1999

To: Administrative Services **Attn:** SIGBIU, Room #4371, Ext. #2622
PSS [redacted]

From: Newark
Squad C-17
Co [redacted] Ext. #6144

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 161F-HQ-1043770 ~~(Pending)~~ b6 b7C

Title: SAMUEL RICHARD BERGER
AKA Sandy
LEVEL II-WHS

9

Synopsis: Newark indices/FOIMS checks negative.

Reference: 161F-HQ-1043770 Serial 4

Administrative: A review of Newark indices/FOIMS revealed no information identifiable with the captioned candidate or the candidate's [redacted]

All Newark leads covered.

4-29

Details: None.

◆◆

cc destroyed

3 [redacted] b6 b7C

83908

FD-263 (Rev. 4-30-85)

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
WFO	BUREAU	06/09/99	04/06/99 - 06/08/99

TITLE OF CASE
SAMUEL RICHARD BERGER

REPORT MADE BY
PSS [redacted]

TYPED BY: [redacted]

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CHARACTER OF CASE
LEVEL II -WHS

REFERENCE: BUREAU EC dated 03/31/99

(PENDING)

ADMINISTRATIVE: BUDED 06/09/99

All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have not been granted.

This report is being submitted PENDING due to the following outstanding lead. 1. Indices

APPROVED [redacted] SPECIAL AGENT IN CHARGE

DO NOT WRITE IN SPACES BELOW

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COPIES MADE:

2-BUREAU (161F-HQ-1043770)-7
PSS [redacted]
1-WFO

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DISSEMINATION RECORD OF ATTACHED REPORT				
Agency				
Request Recd.				
Date Fwd.				
How Fwd.				
By				

Notations

Only cover sheet 6-10 A*

COVER PAGE

FD-204 (Rev. 12-1-95)

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of: PSS [redacted] Office: WFO
Date: June 09, 1999

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Case ID #: 161F-HQ-1043770-6

Title: SAMUEL RICHARD BERGER
AKA, SANDY

Character: LEVEL II - WHS

Synopsis: Appointee was interviewed. White House Official Personnel Folder checked, record reviewed. Employment at National Security Council (NSC) verified favorably. Residence verified favorably. Bar Membership checked, is an in-active member. Bar Counsel and Grievances checked, is an in-active member in good standing. U.S. Secret Service checked, no derogatory information. United States Attorney's Office D.C. checked, no identifiable information. DMV-D.C. checked, record located. National Park Service checked, no record. Local law enforcement agency checked, no record located.

(PENDING)

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 6/4/99

SAMUEL RICHARD BERGER, Assistant to the President for National Security Affairs, West Wing, Washington, D.C., telephone (202) 456-9481, was advised of the official identity of the interviewing agent and the purpose of the interview, that being to ensure that complete, current, and accurate information is available and obtained concerning the appointee to assist the FEDERAL BUREAU OF INVESTIGATION (FBI) in conducting a thorough background investigation of the appointee. The scope of the investigation is from February 1993 until the present. The appointee provided the following information:

The appointee was shown a copy of a Standard Form-86 (SF-86) and any supplement thereto, which was previously completed, signed and dated, March 2, 1999. Each of the appointee's answers to the questions therein were reviewed with the appointee to ensure their accuracy and completeness. The appointee advised that the written responses to each of the questions in the SF-86 (and supplement) were accurate and correct to the best of his knowledge and recollection.

The appointee advised that he is an inactive member of the District of Columbia Bar Association.

The appointee still owns a cabin in Shenandoah County near Zepp, Virginia.

The appointee advised he has not used, sold, or purchased any illegal drug, including marijuana. The appointee also advised he has not abused prescription drugs or alcohol.

The appointee advised he has not had any financial problem which resulted in, but not limited to, property being repossessed, debts placed for collection, filing for bankruptcy or any judgements. The appointee advised he is current on all federal, state, and local tax obligations. The appointee's wife handles their tax returns and the appointee does not recall any time that they made a back payment of any taxes.

The appointee advised he has not been involved in any type of civil matter as a plaintiff or defendant.

Investigation on 6/4/99 at Washington, D.C.

File # 161F-HQ-1043770 Date dictated 6/4/99

by SA [redacted]

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This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

The appointee advised that he has not been denied employment, dismissed from any employment or left any employment under unfavorable circumstances or been denied a security clearance by any agency within the federal government.

The appointee advised that during 1995 and 1996, the Office of Professional Integrity of the United States Department of Justice (DOJ) conducted an inquiry relating to stock that the appointee owned. The appointee had filled out a financial disclosure form and was advised to sell a certain stock. He forgot to do so. One year later, the appointee filled out another financial disclosure form and was once again told to sell the stock. The appointee sold the stock. The matter was referred to DOJ and an inquiry was initiated. After eighteen months, the matter was resolved when the appointee paid a civil fine.

The appointee advised he has not been the subject or suspect of any other criminal matter.

The appointee advised he does not have continuing contact with representatives of any foreign nation outside the scope of his official duties.

The appointee advised that he has been receiving counseling for stress management for several years. The appointee thought that he had listed this counseling on his SF-86. His counselor is [redacted] and he can be reached at 3000 Connecticut Avenue, N.W., Washington, D.C., telephone [redacted] The appointee does not know if [redacted] is a psychologist or psychiatrist. The appointee advised he has not received any other type of psychological or psychiatric treatment or counseling. b6 b7C

The appointee advised he has not been the subject of any professional complaints or nonjudicial disciplinary action.

The appointee advised he has not been involved in any business or investment circumstances that could involve/have involved conflict of interest allegations.

The appointee advised he has not held membership in organizations whose policies restrict membership on the basis of

sex, race, creed, color, religion, or national origin.

The appointee advised his oral responses to the above questions are true and correct to the best of his knowledge and recollection. The appointee advised he is not concealing any activity or conduct that could be used to influence, pressure, coerce, or compromise him in any way, or that could have an adverse impact on his character, judgement, stability, discretion, trustworthiness or responsibility.

WFO 161F-HQ-1043770

[redacted]

1

WHITE HOUSE OFFICIAL PERSONNEL FOLDER

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Office of Human Resources Management
Office of Administration
Executive Office of the President
Room 4013
New Executive Office Building
725 17th Street, N.W.
Washington, D.C.

The following investigation was conducted by Investigative Analyst (IA) [redacted] on June 8, 1999, regarding the appointee, SAMUEL RICHARD BERGER:

8/15/77	Limited Appointment NTE 5 years International Relations Office General Policy Planning Staff Department of State Washington, D.C.
3/11/79	Reassignment Deputy Director for Planning Planning Staff Department of State Washington, D.C.
12/3/80	Resignation
1/20/93	Excepted Appointment Deputy Assistant to the President for National Security Affairs The White House Office Office of the National Security Advisor Washington, D.C.
3/14/97	Conversion to Excepted Appointment Assistant to the President for National Security Affairs The White House Office Office of the National Security Advisor Washington, D.C. $125,000.00

No derogatory information was contained in this official personnel folder.

161F-HO-1043770 [redacted]

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1

EMPLOYMENT

NATIONAL SECURITY COUNCIL (NSC)
OFFICE OF THE NATIONAL SECURITY ADVISOR (ONSA)
WEST WING
WASHINGTON, D.C.
JANUARY 1993-PRESENT

The following investigation was conducted by SA [redacted] regarding the appointee, SAMUEL RICHARD BERGER:

On April 21, 1999, [redacted] Washington, D.C., advised that he oversees the appointee's work, but the appointee reports directly to President CLINTON. [redacted] has known the appointee since [redacted] He described the appointee as collegial, easy to work with, driven, and a key player in the formulation and execution of the administration's foreign affairs policy.

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On May 17, 1999, [redacted] Washington, D.C., advised that he has known the appointee since [redacted] He described him as the best boss he has ever worked for and an extraordinary man for whom he has great respect. He also described him as selfless and dedicated.

On June 4, 1999, [redacted] Washington, D.C., advised that she has worked for the appointee for [redacted] described the appointee as professional, competent, and trustworthy.

None of the individuals interviewed had any reason to question the appointee's character, associates, reputation or loyalty to the United States government. They do not know the appointee to abuse alcohol or prescription drugs, nor to use illegal drugs. They have no reason to doubt that the appointee is financially stable, and they knew of no physical or emotional problems which would interfere with the appointee's work. They knew of nothing which could be used to blackmail or coerce the appointee, and did not know the appointee to be biased or prejudiced toward any group or individual. They all recommended the appointee for a position of trust and confidence with the United States government in which he can be trusted to handle classified or sensitive information.

161F-HQ-1043770
[redacted]
1

RESIDENCE

4228 45TH STREET, NW
Washington, D.C.
June 1973 - Present

The following investigation was conducted by Special Agent [redacted] regarding the appointee, SAMUEL RICHARD BERGER: b6 b7C

On May 20, 1999, [redacted] verified the appointee's residency as captioned above. [redacted] met the appointee in [redacted] when they began as co-workers at Hogan & Hartson Law Firm. Shortly thereafter, [redacted] and the appointee moved into the same neighborhood. [redacted]

Over the past five or six years, since the appointed joined the Clinton Administration, [redacted] has had limited contact with the appointee. He described the appointee as very ethical, having high character standards, and a good sense of humor. [redacted] also described the appointee is a "policy wonk," a devoted public servant, and one who has always been a hard worker. b6 b7C

[redacted] commented favorably concerning the appointee's character, associates, reputation, and loyalty to the United States government. He has neither seen nor heard any evidence to suggest the appointee's involvement in illegal drug use, or abuse of alcohol or prescription drugs. He has no knowledge that the appointee has sold, purchased, possessed, manufactured, and/or distributed an illegal substance. He has no knowledge of any physical, emotional, or financial problems which would affect the appointee's ability to perform any job. He knows of no biases or prejudices in the appointee, nor does he know of anything in the appointee's background that might be the basis of attempted influence or coercion. He advised that the appointee appears to be the type of person who can be trusted with classified and sensitive materials; he recommended the appointee for a position of trust and confidence with the United States government.

On May 19, 1999, [redacted] verified the appointee's residency as captioned above. [redacted] a [redacted] met the appointee when [redacted] At the time, the appointee's eldest child was [redacted] advised that she has only limited interaction with her neighbors; she described the appointee's household as quiet. b6 b7C

On May 19, 1999, [redacted] verified the appointee's residency as captioned above. [redacted] met the appointee [redacted] At the time, the appointee's oldest daughter was [redacted]

When the appointee joined the Clinton Administration, [redacted] was unnerved by the presence of a Secret Service security detail in the neighborhood. The appointee explained to [redacted] the reasons behind the security measures and tried to reassure [redacted] of her safety. [redacted] interacts mostly with the appointee's wife, but described the appointee as kind and thoughtful.

On May 25, 1999, [redacted] advised that he has not personally met the appointee and knows the appointee only as a public figure. [redacted] a resident since [redacted] has observed no problems in the appointee's household.

On May 25, 1999, [redacted] advised that she met the appointee when she herself moved into the neighborhood [redacted] enjoyed some social contact with the appointee until the appointee joined the Clinton Administration. Since that time, they mostly speak with the appointee's wife and have only limited contact with the appointee. [redacted] described the appointee as nice and decent. b6 b7C

On May 25, 1999, [redacted] Washington, D.C., verified the appointee's residency, explaining that the [redacted] Since the appointee joined the Clinton Administration, [redacted] has little contact with the appointee as the appointee is rarely home. She described the appointee a nice and polite.

[redacted] of the aforementioned persons interviewed did not feel that they knew the appointee well enough to comment about the appointee's personal behavior or specific character issues; however, they all stated that they have never observed any problems in the appointee's conduct, neither have they any reason to not recommend the appointee for a position of trust and confidence with the United States government.

WFO 161F-HQ-1043770
[redacted]
1

RECORD CHECK

BAR MEMBERSHIP
DISTRICT OF COLUMBIA BAR
1250 H Street, N.W.
Washington, D.C.

b6
b7C

On April 9, 1999, Investigative Analyst (IA) [redacted] contacted the District of Columbia Bar (D.C. Bar), Washington, D.C., concerning SAMUEL RICHARD BERGER, aka: SANDY.

On April 13, 1999, [redacted] advised IA [redacted] that a search of the files concerning the subject revealed the following:

On July 20, 1972, BERGER was admitted to the D.C. Bar and is an in-active member.

No derogatory or additional pertinent information was provided.

WFO 161F-HQ-1043770
[redacted]
1

RECORD CHECK

BAR COUNSEL AND GRIEVANCES
515 Fifth Street, N.W.
Building A
Washington, D.C.

b6
b7C

On April 13, 1999, Investigative Analyst (IA) [redacted] contacted the OFFICE OF BAR COUNSEL AND GRIEVANCES, 515 Fifth Street, N.W., Washington, D.C., concerning SAMUEL RICHARD BERGER, aka: SANDY.

On April 19, 1999, [redacted] advised IA [redacted] that a review of the files disclosed that the above mentioned individual is an in-active member in good standing, and there are no grievances on file which have resulted in disciplinary action.

It is noted that the Bar Counsel will not release any information regarding complaints against attorneys which are currently being investigated, or which do not results in administrative action, suspension, or disbarment.

WFO 161F-HQ-1043770
[redacted]
1

RECORD CHECK

UNITED STATES SECRET SERVICE (USSS)
Investigative Support Division (ISD)
1800 G Street, Northwest
Washington, D.C.

b6
b7C

On April 16, 1999, Investigative Analyst (IA) [redacted] caused a search to be made of the files of the United States Secret Service (USSS), Department of Treasury, Washington, D.C., concerning SAMUEL RICHARD BERGER.

On April 20, 1999, [redacted] USSS, contacted IA [redacted] that USSS files disclosed that the above mentioned individual is a White House Pass Holder.

WFO 161F-HQ-1043770
[redacted]
1

ARREST CHECK

UNITED STATES DEPARTMENT OF JUSTICE
Office of the United States Attorney
Judiciary Center
555 Fourth Street, N.W.,
Washington, D.C. 20001

On April 12, 1999, the following investigation was initiated by Investigative Analyst (IA) [redacted] at captioned agency concerning a SAMUEL RICHARD BERGER, who is also known as SANDY BERGER.

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On April 15, 1999, [redacted] U.S. Attorney's Office, Narcotics, Public Corruption, Economic Crime, Transnational and Major Crime Unit, advised that no identifiable record could be located regarding the applicant.

On April 12, 1999, IA [redacted] caused a search to be made of the files of the Civil Division.

On April 15, 1999, [redacted] Civil Division advised IA [redacted] that no identifiable record could be located regarding the captioned applicant.

It should be noted that the index system of the Civil Division, U.S. Attorney's Office (USAO) contains only names of plaintiffs, except in civil actions brought by the United States against a particular defendant. Suits against government employees who are represented by the United States Attorney would be filed by plaintiff's name and docket number.

WFO 161F-HQ-1043770

[redacted]

1

RECORD CHECK

b6
b7C

Government of the District of Columbia
Bureau of Motor Vehicle Services
Commercial Drivers License (CDL) Room 1011
301 C Street, NW
Washington, D.C.

On April 9, 1999, Investigative Analyst (IA) [redacted] conducted a computerized search at the above captioned agency concerning, SAMUEL RICHARD BERGER, born October 28, 1945. A review of the records disclosed the following information:

DRIVER'S RECORD:

NAME:	Samuel Richard Berger
ADDRESS:	4228 45th Street, NW
	Washington, D.C. 20016
DOB:	10/28/45
SSAN:	122-38-9468

PERMIT RECORD

According to the information available as of 04/09/99, the above named individual's operator privilege status is legal and DC permit status is disclosed in the following information listed below:

OPERATOR'S PERMIT:	DC 122389468
STATUS:	Valid
EXPIRATION:	06/22/2002

TRAFFIC RECORD

According to the information available as of 04/09/99, the following records are on file in the transportation systems administration for Samuel Richard Berger.

VIOLATION DATE:	01/10/98
VIOLATION:	16 to 20 MPH in excess of speed limit
TICKET#	00000001
ISSUED BY:	Maryland
PERMIT:	DC 122389468
DISPOSITION DATE:	01/12/98
DISPOSITION:	Convicted
POINTS:	4

No additional information was obtained.

LAW ENFORCEMENT AGENCY CHECK

NATIONAL PARK SERVICE
United States Park Police Department
1100 Ohio Drive, Southwest
Washington, D.C.

b6
b7C

On April 13, 1999, Investigative Analyst (IA) [redacted] caused a search to be made of the files of the United States Park Police Department, 1100 Ohio Drive, Southwest, Washington, D.C., concerning SAMUEL RICHARD BERGER, who is also known as SANDY BERGER.

On April 13, 1999, [redacted] advised that no identifiable Adult Criminal record could be located concerning BERGER.

WFO 161F-HQ-1043770

[redacted]

1

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b7C

LAW ENFORCEMENT AGENCIES

On April 06, 1999 a search was made of the records of the Metropolitan Police Department, Washington, D.C., and it was advised that no identifiable information was located regarding the appointee SAMUEL RICHARD BERGER.

It should be noted that at all times an indefinite number of unidentified records are out of file, and therefore, unavailable for review.

FD-263 (Rev. 4-30-85)

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
WFO	BUREAU	07/15/99	05/15/99 - 07/14/99

TITLE OF CASE	REPORT MADE BY	TYPED BY:
SAMUEL RICHARD BERGER	PSS [redacted]	[redacted]

b6
b7C

CHARACTER OF CASE
LEVEL II -WHS

REFERENCE: BUREAU EC dated 06/09/99

(RUC)

ADMINISTRATIVE: BUDED 06/09/99

All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have not been granted.

WFO indices are identical with the appointee see enclosed insert.

This report is being submitted past BUDED due an to additional lead set after BUDED and a large volume of indices that had to be reviewed and written up by an SA.

APPROVED [redacted]	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW

COPIES MADE:

2-BUREAU (161F-HQ-1043770) - 10
PSS [redacted]
1-WFO

83908 6/9 ICC Attached Also 1 NFO NOT IN ACS [redacted]

b6
b7C

DISSEMINATION RECORD OF ATTACHED REPORT				
Agency				
Request Recd.				
Date Fwd.				
How Fwd.				
By				

Notations

INDICES

A review of WFO indices was negative for his wife and children. This review revealed the fact that the appointee was referenced in several files, however, none of these references were pertinent or derogatory. Those references are as follows: [redacted] 56D-WF-204166, numerous serials; and, [redacted] The appointee was the main subject of four files, as follows: b3 b6 b7C b7E

58A-WF-200802
[redacted]

Samuel Richard Berger,
aka, "Sandy" Berger,
Deputy Assistant to the President
for National Security Affairs;
CFO-COI
OO:WFO

A review of this file revealed that it was opened in September 1995 and was closed in June 1998. This case was opened on a conflict of interest allegation revolving around the appointee's nondivestiture of certain stocks. The case was closed following a Settlement Agreement in which the appointee agreed to make a lump sum payment of $23,043.00, which represented the amount the stock which the appointee should have divested himself of appreciated during the time he continued to hold the stock after being ordered to divest. The appointee agreed that he was ordered to divest himself of the stock in March 1994, and that he took no steps to carry out this divestiture, although he intended to do so, with the press of business he completely forgot. There was no evidence that the appointee ever took any action to conceal or misrepresent his continued ownership of the stock.

[redacted]
Samuel R. Berger; b3 b7E
[redacted]

A review of this file revealed that it was opened in February 1996 and closed in May 1996. The case was closed following the discovery of no derogatory regarding the appointee.

b6
b7C

74-WF-206380
[redacted]
Samuel Berger, Deputy National Security Advisor;
[redacted]
Peter Tarnoff, Under Secretary of State for Political Affairs; [redacted]
[redacted]
Perjury; False Statements; Obstruction of Congress;
OO:WFO

A review of this file revealed that it was opened in January 1997 and is still pending. There is no reference to the appointee anywhere in the file except in the title in the first serial. This case was opened following the receipt of a letter from the Department of Justice requesting a preliminary investigation into allegations of perjury, false statements and obstruction of Congress committed in the course of a congressional investigation of the United States role in the shipment of Iranian arms to Bosnia. The case agent was contacted and advised that the appointee was named initially only because of his position and that there was absolutely no derogatory or pertinent information regarding the appointee in the file. The appointee was quickly eliminated as a subject in this case, however, the case is still pending resolution for some of the other named subjects.

211-WF-203315
Samuel Richard Berger;
EGA;
OO:WFO

A review of the Automated Case Support (ACS) System revealed that this case was opened in April 1996 and closed in November 1996. This case was closed administratively (C4), indicating that a decision not to prosecute was reached. There is no other information available in ACS. This file was unable to be located at WFO's Closed Files location and was not unable to be located on the applicable squad's rotor.

The following files were unable to be located and therefore were not reviewed. It is not possible to determine if they are identical to the appointee.

[redacted]

b3
b7E

FD-204 (Rev. 12-1-95)

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of: PSS [redacted] Office: WFO
Date: July 15, 1999

Case ID #: 161F-HQ-1043770 ,9

Title: SAMUEL RICHARD BERGER
AKA, SANDY

Character: LEVEL II - WHS

Synopsis: U.S. Department of Justice, Public Integrity Section checked, record located.

(RUC)

b6
b7C

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

WFO 161F-HQ-1043770

[redacted]

1

RECORD CHECK

U.S. DEPARTMENT OF JUSTICE
Public Integrity Section
Criminal Division
1400 New York Avenue, N.W.
Washington, D.C.

b6
b7C

On June 15, 1999, Investigative Analyst (IA) [redacted] caused a search to be made of the files of the U.S. Department of Justice (DOJ), Criminal Division, Public Integrity Section, Washington, D.C., concerning SAMUEL RICHARD BERGER, aka SANDY BERGER.

On June 17, 1999, [redacted] Public Integrity Section, DOJ, advised that there was an investigation opened involving SAMUEL RICHARD BERGER on August 15, 1995. This investigation concerned a possible conflict of interest relating to stocks held by BERGER and his children. It was a criminal investigation with a civil resolution; BERGER paid a fine of $23,043.00 and the investigation was declined without prosecution on November 10, 1997.

FD-263 (Rev. 4-30-85)

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
WFO	BUREAU	08/03/99	08/03/99

TITLE OF CASE
SAMUEL RICHARD BERGER

REPORT MADE BY
PSS [redacted]

TYPED BY: [redacted]

CHARACTER OF CASE
LEVEL II -WHS

b6
b7C

REFERENCE: Telcal and E-Mail from [redacted] to [redacted] 08/04/99.

(RUC)

ADMINISTRATIVE: BUDED 08/04/99

All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have not been granted.

APPROVED SPECIAL AGENT IN CHARGE

DO NOT WRITE IN SPACES BELOW

COPIES MADE:

2-BUREAU (161F-HQ-1043770) -17
PSS [redacted]
1-WFO

i cc destroyed

b6
b7C

DISSEMINATION RECORD OF ATTACHED REPORT				
Agency				
Request Recd.				
Date Fwd.				
How Fwd.				
By				

Notations

A*
COVER PAGE

FD-204 (Rev. 12-1-95)

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of: PSS [redacted] Office: WFO
Date: August 3, 1999

Case ID #: 161F-HQ-1043770

Title: SAMUEL RICHARD BERGER
AKA, SANDY

Character: LEVEL II - WHS

Synopsis: Employment at National Security Council, Office of the National Security Advisor (ONSA) verified favorably.

(RUC)

b6
b7C

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

161F-HO-1043770
[redacted]

1

EMPLOYMENT

NATIONAL SECURITY COUNCIL (NSC)
OFFICE OF THE NATIONAL SECURITY ADVISOR (ONSA)
WEST WING
WASHINGTON, D.C.
JANUARY 1993-PRESENT

The following investigation was conducted by SA [redacted] regarding the appointee, SAMUEL RICHARD BERGER:

On April 21, 1999, [redacted] Washington, D.C., advised that he oversees the appointee's work, but the appointee reports directly to President CLINTON. [redacted] has known the appointee since [redacted] He described the appointee as collegial, easy to work with, driven, and a key player in the formulation and execution of the administration's foreign affairs policy.

On May 17, 1999, [redacted] Washington, D.C., advised that he has known the appointee since [redacted] He described him as the best boss he has ever worked for and an extraordinary man for whom he has great respect. He also described him as selfless and dedicated.

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On June 4, 1999, [redacted] Washington, D.C., advised that she has worked for the appointee for [redacted] described the appointee as professional, competent, and trustworthy.

On August 3, 1999, [redacted] Washington, D.C., advised that she has worked for the appointee for [redacted] She described him as a good boss who is very dedicated.

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On August 3, 1999, [redacted] Washington, D.C., advised that he has worked with the appointee since [redacted] described him as very hardworking, a great thinker, a strategic thinker, and a "doer".

5

On August 3, 1999, [redacted] Washington, D.C., advised

6

that she has worked with the appointee for [redacted] She described him as dedicated, loyal, and honest.

None of the individuals interviewed had any reason to question the appointee's character, associates, reputation or loyalty to the United States government. They do not know the appointee to abuse alcohol or prescription drugs, nor to use illegal drugs. They have no reason to doubt that the appointee is financially stable, and they knew of no physical or emotional problems which would interfere with the appointee's work. They knew of nothing which could be used to blackmail or coerce the appointee, and did not know the appointee to be biased or prejudiced toward any group or individual. They all recommended the appointee for a position of trust and confidence with the United States government in which he can be trusted to handle classified or sensitive information.

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE 06/09/1999 **Date:** 08/13/1999

To: Washington Field **Attn:** Squad A-1

From: Administrative Services
Special Inquiry and General Background Investigations Unit (SIGBIU), Room 4371
Contact: PSS [redacted] Extension 6943

[redacted]

Approved By: [redacted] b6 b7C

Drafted By: [redacted]

Case ID #: 161F-HQ-1043770 (Pending)

Title: SAMUEL RICHARD BERGER;
AKA: Sandy
LEVEL II-WHS

Synopsis: Additional background investigation (BI) on captioned candidate.

Reference: 161F-HQ-1043770 Serial 7

Administrative: Direct results/questions to PSS [redacted] SIGBIU, FBIHQ, Room 4371, Ext. 6943. RESULTS SHOULD BE RECEIVED BY NO LATER THAN COB 08/18/1999.

Enclosure: Blank Authorization for Release of Medical Information (ARMI).

Details: During the routine interview conducted on June 4, 1999, candidate advised that he continues to see [redacted] 300 Connecticut Avenue, NW, Washington, D.C., telephone [redacted] for stress management counseling. b6 b7C

LEAD (s):

Set Lead 1:

WASHINGTON FIELD

AT WASHINGTON, DC

Recontact candidate have him sign and date the enclosed ARMI and thereafter interview [redacted] in

161F-HQ-1043770-13

accordance to instructions regarding the guidelines for counseling/counselor interviews set forth at the onset of this investigation in FBIHQ EC dated 8/31/99.

♦♦

Standard Form 86
Revised September 1995
U.S. Office of Personnel Management
5 CFR Parts 731, 732, and 736

Form approved:
O.M.B. No. 3206-0007
NSN 7540-00-634-4036
86-111

UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF MEDICAL INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

Instructions for Completing this Release

This is a release for the investigator to ask your health practitioner(s) the three questions below concerning your mental health consultations. Your signature will allow the practitioner(s) to answer only these questions.

I am seeking assignment to or retention in a position with the Federal government which requires access to classified national security information or special nuclear information or material. As part of the clearance process, **I hereby authorize** the investigator, special agent, or duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain the following information relating to my mental health consultations:

Does the person under investigation have a condition or treatment that could impair his/her judgement or reliability, particularly in the context of safeguarding classified national security information or special nuclear information or material?

If so, please describe the nature of the condition and the extent and duration of the impairment or treatment.

What is the prognosis?

I understand the information released pursuant to this release is for use by the Federal Government only for purposes provided in the Standard Form 86 and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for 1 year from the date signed or upon termination of my affiliation with the Federal Government, whichever is sooner.

Signature *(Sign in ink)*	Full Name *(Type or Print Legibly)*		Date Signed
Other Names Used			Social Security Number
Current Address *(Street, City)*	State	ZIP Code	Home Telephone Number *(Include Area Code)*
			( )

********** -COMM. JO[redacted]AL- ********** DATE AUG-13-19[redacted] TIME 12:15 *** P.01

MODE = MEMORY TRANSMISSION START=AUG-13 12:14 END=AUG-13 12:15

FILE NO.= 184

STN NO.	COM	ABBR NO.	STATION NAME/TEL.NO.	PAGES	DURATION
001	OK	[59]	WFO161	004/004	00:01'08"

-SIGBIU -

********** - ***** - 202 324 1373- **********

FD-448 (Rev. 5-23-90)

FBI FACSIMILE COVERSHEET

CLASSIFICATION

PRECEDENCE

- ☐ Immediate
- ☐ Priority
- ☑ Routine

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☑ Unclassified

Time Transmitted: _____
Sender's Initials: _____
Number of Pages: 4

To: WFO (Name of Office) Date: 8/13/99

Facsimile number: _____

Attn: _____ (Name / Room / Telephone No.)

From: _____ (Name of Office)

Subject: SAMUEL RICHARD BERGER
LEVEL II - ~~ASE~~ WHS

Special Handling Instructions: Please conduct additional background investigation

Originator's Name: _____ Telephone: 6943

Originator's Facsimile Number: _____

Approved: _____

FBI/DOJ

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b7C

7/9
393

AUG 13 1999

b6
b7C

BY COURIER

#83908

[redacted]
Executive Office of the President
The White House
Washington, D.C.

Dear [redacted]

Based on a request received from your office dated March 18, 1999, a Level II five-year background reinvestigation was initiated concerning Mr. Samuel Richard Berger. Enclosed is a summary memorandum containing the partial results of this investigation, along with a copy of an interview providing details of information contained in this summary memorandum.

A background investigation was conducted concerning Mr. Berger in 1993 by the FBI. The results of that investigation have been previously provided to your office. The enclosed summary memorandum covers the period since February, 1993.

Your office will be advised when additional investigation has been completed. Should you have any questions, they may be directed to Supervisory Personnel Security Specialist [redacted] or myself, telephone number [redacted]

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b7C

161-HQ-1043770-14

Sincerely yours,

[redacted]
Chief
Special Inquiry and General
Background Investigations Unit

Enclosures (2)

1 - [redacted]
National Security Council
Room 397
Old Executive Office Building
Washington, D.C.

[redacted] (2)

b6
b7C

SEE NOTE ON PAGE 2

RETURN TO [redacted] ROOM 4371

Dep. Dir.
Chief of Staff
Off. of Gen. Counsel
Asst. Dir.
Crim. Inv.
CJIS
Finance
Info. Res.
Insp.
Lab.
National Soc.
Personnel
Training
Off. of EEOA
Off. of Public & Cong. Affs.
Director's Office

MAIL ROOM

FBI/DOJ

[redacted]

b6
b7C

NOTE: This case was opened on 6/9/99. Mr. Berger is currently employed by the National Security Council, the White House, Washington, D.C., as Assistant to the President for National Security Affairs. He is being investigated for his current position.

Mr. Berger advised that he continues to receive counseling for stress management.

During his routine interview, Mr. Berger advised that during 1995 and 1996, the Office of Professional Integrity, DOJ, had conducted an inquiry relating to stock that he had owned and been ordered to sell. He advised the matter had been resolved and he had paid a civil fine.

A name check was conducted at the request of the White House concerning Mr. Berger in December, 1996. The name check revealed that Mr. Berger was one of several subjects of an ongoing criminal investigation which remained in a pending status. This investigation disclosed that Mr. Berger had failed to divest himself of stock which might create a conflict of interest in his position as National Security Advisor. It was determined that there had been no criminal intent on the part of Mr. Berger; however, he was ordered to pay $23,043, the amount his stock earned from the time he was told to divest himself of it.

Investigation is complete except for interview of psychiatrist. (WFO)

The following footnotes correspond to information located in the Agency Checks section of the summary:

*161F-1043770; **58A-WF-2008021 ***211-WF-203315

AUG 13 1993

SAMUEL RICHARD BERGER

This summary memorandum contains the partial results of a Level II five-year background reinvestigation concerning Mr. Berger and covers the period since February, 1993. Inquiries were conducted as to Mr. Berger's character, loyalty and general standing, but no inquiries were made as to the sources of his income.

Additional investigation is being conducted.

Biographical Data

Previous investigation determined Mr. Berger was born on October 28, 1945, in Sharon, Connecticut. He resides at 4228 45th Street, Northwest, Washington, D.C., [redacted] b6 b7C

[redacted]

Family Status

Since the completion of the last background investigation, Mr. Berger's, stepfather, Louis Laufer, has died.

Employment

Since February, 1993, Mr. Berger has continued to be employed by the National Security Council, Washington, D.C., initially as Deputy Assistant and subsequently as Assistant to the President for National Security Affairs.

Interviews

Seven individuals, consisting of Mr. Berger's supervisors, coworkers, neighbors and personal associates, were interviewed. They provided favorable comments concerning Mr. Berger's character, associates, reputation, and loyalty. All persons interviewed during the course of this background investigation stated they are unaware of any illegal drug use or alcohol or prescription drug abuse by Mr. Berger, nor have they ever known him to exhibit any type of bias or prejudice against any class of citizen or any type of religious, racial or ethnic

Dep. Dir.___
Chief of Staff___
Off. of Gen. Counsel___
Asst. Dir.___
Crim. Inv.___
CJIS___
Finance___
Info. Res.___
Insp.___
Lab.___
National Sec.___
Personnel___
Training___
Off. of EEOA___
Off. of Public & Cong. Affs.___
Director's Office___

[redacted] (3) b6 b7C

RETURN TO [redacted] ROOM 4371

MAIL ROOM ☐

FBI/DOJ

group. They also commented that they believe Mr. Berger lives within his financial means. None of the individuals contacted was aware of any information concerning Mr. Berger that could be used to compromise or coerce him. All persons interviewed recommended him for a position of trust and responsibility.

Financial Responsibility

A search of computerized credit records, conducted at FBI Headquarters in March, 1999, disclosed no pertinent information concerning Mr. Berger.

Law Enforcement Agency Checks

Information has been received from appropriate law enforcement agencies indicating their files contain no pertinent information concerning Mr. Berger.

Bar Affiliations

Mr. Berger is an inactive member of the District of Columbia Bar. According to information available, no grievances have been filed against him.

Miscellaneous

During a routine interview conducted by the FBI on June 4, 1999, Mr. Berger advised that he had been receiving counseling for stress management for several years. It should be noted that this information was not included in Mr. Berger's current Standard Form 86 (SF-86) dated May 2, 1999; however, it was included on the previous SF-86 dated January 13, 1993. Mr. Berger advised the FBI that he thought he had included this information on his current SF-86. He stated that his counselor is [redacted] and did not know if he is a psychologist or a psychiatrist. Additional investigation is being conducted concerning this matter. b6 b7C

Agency Checks

A representative of the Department of Justice (DOJ), Criminal Division, Public Integrity Section (PIS), Washington, D.C., advised the FBI that their records indicate that Mr. Berger

was the subject of an investigation initiated on August 15, 1995. The investigation concerned a possible conflict of interest involving stocks held by Mr. Berger and his children. Prosecution was declined; however, on November 10, 1997, Mr. Berger was ordered to pay a fine of $23,043. (See results of FBI indices searches below.)

During the interview of June 4, 1999, conducted by the FBI, Mr. Berger advised that during 1995 and 1996, the DOJ conducted an inquiry relating to stock that he had owned. He stated that when he had filed his financial disclosure form, he had been advised to sell a certain stock and forgot to do so. A year later, he filed another financial disclosure form and was again advised to sell the stock. Mr. Berger indicated that he had sold the stock; however, the matter was referred to DOJ and an inquiry was initiated. He stated that the matter was resolved and he had paid a civil fine.

During the course of this investigation, the records of the following entities were checked and found to contain either no record or no pertinent information concerning Mr. Berger, unless otherwise noted in this summary memorandum:

Defense Clearance and Investigations Index;
National Security Council;
Office of Personnel Management;
PIS, and appropriate
United States Attorneys, DOJ;
United States Secret Service;
and the White House Office.

Searches of the various indices of the FBI, including but not limited to the central index maintained at FBI Headquarters, the index of the Criminal Justice Information Services Division (by name and other known identifying data only), the indices of appropriate field offices and other appropriate computer data bases, did not identify any documents that contain pertinent information identifiable with Mr. Berger or his listed close relatives, except the following:

Mr. Berger was the subject of a background investigation* conducted by the FBI and completed in February, 1993, in connection with his current White House employment.

Mr. Berger was among several individuals named in a criminal investigation** initiated by the FBI in September, 1995, regarding

Corruption of Federal Public Officials in the Executive Branch. The investigation was initiated when a question of compliance with orders was directed to the United States Deputy Attorney General by the Office of the Counsel to the President, the White House. The question pertained to a possible lack of divestiture of stock by Mr. Berger. The case was closed following a settlement agreement in which Mr. Berger complied with the orders of divestiture and after certification by the United States Office of Government Ethics. On June 16, 1995, Mr. Berger was ordered to make a lump sum payment of $23,043. This amount represented the appreciation of the stock during the time he continued to hold the stock after he was ordered to divest. During the course of the investigation, Mr. Berger acknowledged that he was ordered to divest himself of the stock in March, 1994; however, he took no steps to carry out this divestiture. He indicated that he intended to do so, but forgot due to the press of business. There was no evidence that Mr. Berger ever took any action to conceal or misrepresent his continued ownership of the stock.

By letter dated March 29, 1996, the PIS, Criminal Division, DOJ, requested FBI investigative assistance in determining if Mr. Berger and certain other individuals, were covered under the campaign officials provision of the Independent Counsel Act (ICA), 28 U.S.C. 591(6). The PIS advised that it had received information that Mr. Berger may have been associated with the 1992 Clinton/Gore Campaign Committee. The PIS advised that under that provision, campaign officials of the incumbent's principal national campaign committee are covered by the ICA if they are "officers" of that committee "exercising authority on a national level." Based on the PIS request, the FBI conducted a "preliminary inquiry" pursuant to the Independent Counsel provisions of the Ethics in Government Act of 1978.

The inquiry, consisting of appropriate interviews and records reviews, was conducted to determine what role, if any, Mr. Berger played on the campaign in that the PIS could make a legal judgment as to whether to make a recommendation to the Attorney General regarding the possible appointment of an Independent Counsel for any further investigation of Mr. Berger and the other individuals. All logical investigation was completed as of May, 1996. Based upon a review of the FBI file, Mr. Berger was not interviewed during this inquiry. At the time of the inquiry, Mr. Berger was Deputy Assistant to the President for National Security Affairs, National Security Council. The FBI file also indicates that Mr. Berger had been an advisor on foreign policy issues to the Clinton/Gore campaign and had participated in planning strategy and making policy decisions.

By letter dated November 12, 1996, the PIS was advised that as of that date the FBI had not received notification from the PIS that any decision had been reached regarding the status of Mr. Berger and the other individuals. PIS was also advised that unless advised to the contrary by PIS, the FBI was closing its preliminary inquiry. The FBI file was closed on November 12, 1996, and contains no response from the PIS to the FBI's letter.

It should be noted that results of the above indices searches reveal only data entered into those indices as of the date each was searched. However, it should also be noted that some delays may occur as to the entry of such data.

REQUEST FOR CREDIT CHECK

MAR 22 1 34 PM '99

DATE 03/19/1999

TO: CONTRACTOR
FROM: SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS (SIGBIU)

ATTENTION: [redacted] ROOM 4371 EXT. 2587 b6 b7C

RESPONSE CRITERIA	TYPE OF REQUEST
5 WORK DAYS	SUITABILITY

SUBJECT'S NAME: BERGER,SAMUEL RICHARD MAIDEN:

OTHER NAMES USED: BERGER,SANDY

DATE OF BIRTH (DOB): 10/28/1945 PLACE OF BIRTH (POB): SHARON,CT

SEX: M SOCIAL SECURITY ACCOUNT NUMBER (SSAN): 122-38-9468

SPOUSE'S NAME: [redacted] MAIDEN:
AKA:

SUBJECT'S CURRENT ADDRESS: 4228 45TH ST, WASHINGTON,DC 20016

SUBJECT'S ADDRESS(ES) FOR LAST SEVEN (7) YEARS: 4228 45TH ST, WASHINGTON,DC 20016 b6 b7C

ENCLOSURE - RELEASE FORM TO BE ATTACHED

3 [redacted]

Standard Form 86
Revised September 1995
U.S. Office of Personnel Management
5 CFR Parts 731, 732, and 736

Form approved:
O.M.B. No 3206-0007
NSN 7540-00-634-4036
86-111

UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

I Authorize any investigator, special agent, or other duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain any information relating to my activities from individuals, schools, residential management agents, employers, criminal justice agencies, credit bureaus, consumer reporting agencies, collection agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, criminal history record information, and financial and credit information. I authorize the Federal agency conducting my investigation to disclose the record of my background investigation to the requesting agency for the purpose of making a determination of suitability or eligibility for a security clearance.

I Understand that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will be needed, and I may be contacted for such a release at a later date. Where a separate release is requested for information relating to mental health treatment or counseling, the release will contain a list of the specific questions, relevant to the job description, which the doctor or therapist will be asked.

I Further Authorize any investigator, special agent, or duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, the Defense Investigative Service, and any other authorized Federal agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for access to classified information and/or for assignment to, or retention in, a sensitive National Security position, in accordance with 5 U.S.C. 9101. I understand that I may request a copy of such records as may be available to me under the law.

I Authorize custodians of records and other sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

I Understand that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 86, and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for five (5) years from the date signed or upon the termination of my affiliation with the Federal Government, whichever is sooner. Read, sign and date the release on the next page if you answered "Yes" to question 21.

Signature *(Sign in ink)*	Full Name *(Type or Print Legibly)*		Date Signed
Samuel R Berger	Samuel Richard Berger		3/2/99
Other Names Used			Social Security Number
"Sandy" Berger			122-38-9468
Current Address *(Street, City)*	State	Zip Code	Home Telephone Number *(Include Area Code)*
4228 45th Street N.W. Washington	DC	20016	(202)363-8070

IDENT CHECK ROOM 11262B TUBE J1, ATTN: [redacted]

FROM: SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS UNIT, DIV 3, RM
EXT: 2587 ATTN: PSS [redacted] b6 b7C

SUBJECT: SAMUEL RICHARD BERGER BUDED: 03/29/1999

BUREAU FILE NUMBER: 161F-*

THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED TO THE SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS UNIT, RM 4371 VIA ROUTING SLIP MARKED 'URGENT'.

SUBJECT IS DESCRIBED AS FOLLOWS: NY 756 259 RA5 Aud-P

RESULT NAME: SAMUEL RICHARD BERGER
AKA: SANDY BERGER
DOB: 10/28/1945
POB: SHARON, CT
SSAN: 122-38-9468
CURRENT ADDRESS: 4228 45TH ST
WASHINGTON, DC 20016
EMPLOYMENT: FEDERAL GOVERNMENT
* 1600 PENNSYLVANIA AVE WASHINGTON, DC 2

CLOSE RELATIVES

RESULT	NAME	DOB	RESIDENCE
_____	[redacted]		
_____			
_____			
_____			
_____			

b6 b7C

CHECK CONDUCTED BY: [redacted], ON 3-22

NCIC CHECK ROOM 1328 TL153, ATTN: [redacted]
WANTED & CCH FILES

b6
b7C

FROM:
EXT: 2587 ATTN: PSS [redacted]

SUBJECT: SAMUEL RICHARD BERGER NR BUDED: 06/09/1999
AKA(S): BERGER, SANDY NR

THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED TO THE RM
VIA ROUTING SLIP
MARKED 'URGENT'.

SUBJECT IS DESCRIBED AS FOLLOWS:
RESULT NAME: SAMUEL RICHARD BERGER
DOB: 10/28/1945
POB: SHARON, CT
SSAN: 122-38-9468
CURRENT ADDRESS: 4228 45TH ST
WASHINGTON, DC 20016
EMPLOYMENT: FEDERAL GOVERNMENT
* 1600 PENNSYLVANIA AVE WASHINGTON, DC 2

CLOSE RELATIVES

RESULT	NAME	DOB	RESIDENCE

b6
b7C
b7E

CHECK CONDUCTED BY: [redacted], ON 3-22

QW.DCFBIWAA6.NAM/BERGER,SAMUEL RICHARD.SEX/M.DOB/102845.SOC/122389468

MON MAR 22 1999 08:51:06
1L0191634 [redacted]
DCFBIWAA6
NO NCIC WANT SOC/122389468
NO NCIC WANT DOB/19451028 NAM/BERGER,SAMUEL RICHARD SEX/M
QW.DCFBIWAA6.NAM/BERGER,SANDY.SEX/M.DOB/102845.SOC/122389468

MON MAR 22 1999 08:51:38
1L0191634 [redacted]
DCFBIWAA6
NO NCIC WANT SOC/122389468
NO NCIC WANT DOB/19451028 NAM/BERGER,SANDY SEX/M
QW.DCFBIWAA6.NAM/[redacted]

MON MAR 22 1999 08:52:00
1L0191634 [redacted]
DCFBIWAA6
NO NCIC WANT DOB/[redacted]
QW.DCFBIWAA6.NAM/[redacted]

MON MAR 22 1999 08:52:33
1L0191634 [redacted]
DCFBIWAA6
NO NCIC WANT DOB/[redacted]
QW.DCFBIWAA6.NAM/[redacted]

MON MAR 22 1999 08:52:48
1L0191634 [redacted]
DCFBIWAA6
NO NCIC WANT DOB/[redacted]
QW.DCFBIWAA6.NAM/[redacted]

b6
b7C

MON MAR 22 1999 08:53:18
1L0191634 [redacted]
DCFBIWAA6
NO NCIC WANT DOB/[redacted]
QW.DCFBIWAA6.NAM/[redacted]

MON MAR 22 1999 08:53:40
1L0191634 [redacted]
DCFBIWAA6
NO NCIC WANT DOB/[redacted]
QW.DCFBIWAA6.NAM/[redacted]

MON MAR 22 1999 08:54:11
1L0191634 [redacted]
DCFBIWAA6
NO NCIC WANT DOB/[redacted]
QW.DCFBIWAA6.NAM/[redacted]

MON MAR 22 1999 08:54:22
1L0191634 [redacted]
DCFBIWAA6
NO NCIC WANT DOB/[redacted]

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 SSSS  PPPP  EEEE   CCCC  IIIII      A      L
S      P   P E     C       I       A A     L
SSSS   PPPP  EE    C       I      AAAAA    L
    S  P     E     C       I     A     A   L
SSSS   P     EEEE   CCCC  IIIII  A     A  LLLLL
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SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS (SIGBIU)
FEDERAL BUREAU OF INVESTIGATION
RECORDS/OPERATIONS SECTIONS

DATE: 03/19/1999 BUDED: 03/29/1999

****

~~X SERVICE~~ UNIT, ROOM 7361

X RETURN TO: [redacted] ROOM 4371, EXT. 2587

b6
b7C

****

SCOPE OF SEARCH: SECURE DATA INFORMATION SYSTEM

****

TYPE OF SEARCH REQUESTED: ALL REFERENCES (SECURITY & CRIMINAL)

****

FR UTD ,

SPECIAL INSTRUCTIONS: X SIX WAY PHONETIC

SUBJECT IS DESCRIBED AS FOLLOWS:

NAME: [redacted]RGER,SAMUEL,RICHARD * NN MRS
AKA: [redacted]RGER,SANDY,
DOB: 10/28/1945
POB: SHARON,CT *
SSAN: 122-38-9468
LOCALITIES: DC

****

RELATIVES: FR UTD ,

SPECIAL INSTRUCTIONS: X THREE WAY SEARCH

RELATIONSHIP	NAME	DOB	LOCALITIES
[redacted]			

b6
b7C
b7E

WFO 161F-HQ-1043770
[redacted]
1

b6
b7C

INDICES

The following reviews were conducted per FBIHQ request for further review in the following two cases:

58A-WF-200802

In response to the questions posed by E-mail on 7/19/99 from PSS [redacted] to SA [redacted]

1. Who made the allegation of Conflict of Interest?
[redacted] sent a letter, dated 8/8/95, to then-Deputy Attorney General [redacted] advising that there was a question of compliance (per 28 USC, section 535(b)) on the part of the appointee for lack of divestiture.

b6
b7C

2. Was an investigation or inquiry conducted?
An investigation was conducted by the FBI subsequent to the receipt of the letter noted above.

3. Who ordered the divesture?
In the above noted letter, [redacted] states that "In light of the prior advice *provided by this office*..." (italics added). This seems to indicate that the White House Office of the Counsel to the President "orders" divestiture. Divestiture of the appointee's stocks was certified by the US Office of Government Ethics, 1201 New York Avenue NW, Suite 500, Washington, DC, on 6/16/95 in Certificate No. 95-52.

4. Who was the payment made to?
Per personnel at the Public Integrity Section of the Department of Justice, payment in settlement agreements is made to the US Treasury Department. Presumably, that is what happened in this case.

211-WF-203315

A review of this file revealed that it was opened on 4/17/96 based on a request from DOJ to determine if the appointee was covered by the Independent Counsel Act. An investigation was conducted and no conclusion was reached. The file was administratively closed on 11/12/96.

To be attached to the Berger indices:

Might I make a suggestion that if there is a certain format that the PSS's at HQ follow when summarizing file reviews, it would be useful for A-1 to have. This would increase our efficiency tremendously.

For example, do you need:

1. date opened
2. allegation (including who made the allegation)
3. what the investigation revealed
4. date closed
5. resolution (including to whom fine was paid, where time was served, etc.)

If this is good, we will follow this "format" and will ensure that all our PSS's have the required information.

WFO 161F-HQ-1043770
[redacted]
1

b6
b7C

INDICES

The following reviews were conducted per FBIHQ request for further review in the following two cases:

58A-WF-200802

In response to the questions posed by E-mail on 7/19/99 from PSS [redacted] to SA [redacted]

1. Who made the allegation of Conflict of Interest?
[redacted] sent a letter, dated 8/8/95, to then-Deputy Attorney General [redacted] advising that there was a question of compliance (per 28 USC, section 535(b)) on the part of the appointee for lack of divestiture.

b6
b7C

2. Was an investigation or inquiry conducted?
An investigation was conducted by the FBI subsequent to the receipt of the letter noted above.

3. Who ordered the divesture?
In the above noted letter, [redacted] states that "In light of the prior advice *provided by this office...*" (italics added). This seems to indicate that the White House Office of the Counsel to the President "orders" divestiture. Divestiture of the appointee's stocks was certified by the US Office of Government Ethics, 1201 New York Avenue NW, Suite 500, Washington, DC, on 6/16/95 in Certificate No. 95-52.

4. Who was the payment made to?
Per personnel at the Public Integrity Section of the Department of Justice, payment in settlement agreements is made to the US Treasury Department. Presumably, that is what happened in this case.

211-WF-203315

A review of this file revealed that it was opened on 4/17/96 following the receipt of a memorandum from [redacted] Acting Assistant Attorney General, DOJ, for "an agent to conduct an investigation sufficient to determine whether certain persons are covered under the Independent Counsel Act, 28 USC, section 591 et seq." Among those persons was the appointee, then Deputy National Security Advisor. There is "no exact legal definition of a 'covered' individual", however, the investigating agent was asked to include the following in interviews:

b6
b7C

1. Interviewee's title and role in the 1992 campaign, and for how long.
2. Title and role for the appointee (and others named).
3. Did the appointee (and others named):
   a. [redacted]

b7E

161F-HO-1043770

[redacted]

2

b6
b7C
b7E

b. [redacted]
c.
d.
e.
f.
g.
h.

There follows in the file numerous interviews of co-workers from the campaign and some Nexis/Lexis reports. The case was closed administratively on 11/12/96 following receipt of a letter from LEE RADEK, Chief, DOJ, PIS, Washington DC, wherein RADEK advises the FBI that "In the Spring of 1996, the FBI was requested to conduct the preliminary inquiries as the status of...Samuel Berger...in the 1992 Presidential Campaign. All logical investigation was completed as of May 1996. To date, we have not received written notification from your office that a prosecutive decision was made regarding the status of the named individuals. Unless advised to the contrary, we will close the preliminary inquiries." There is no indication of any resolution to the question of whether the appointee was covered by the Independent Counsel Act.

DCII CHECK REQUEST FORM

****

** SUBJECT IDENTIFICATION **

****

PLEASE RETURN TO PSS [redacted] ROOM 4371. b6 b7C

UNIT NAME: SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS

SUBJECT: BERGER, SAMUEL, RICHARD NR

DOB: 1945/10/28

SSAN: 122-38-9468

OTHER-NAMES: BERGER, SANDY (AKA) NR

31 [redacted] b6 b7C

CHECK CONDUCTED BY: [redacted] ON: 3.22

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 SSSS  PPPP   EEEE   CCCC  IIIII      A      L
S      P   P  E     C        I       A A     L
 SSSS  PPPP   EE    C        I      AAAAA    L
     S P      E     C        I     A     A   L
 SSSS  P      EEEE   CCCC  IIIII  A       A  LLLLL
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#452
MAR 25 1999

SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS (SIGBIU)
FEDERAL BUREAU OF INVESTIGATION
RECORDS/OPERATIONS SECTIONS

DATE: 03/19/1999 BUDED: 03/29/1999

****

X NAME SEARCHING UNIT, NEWINGTON ANNEX
X FORWARD TO PICKETT STREET
X FORWARD TO FILE REVIEW : RM 5931
X RETURN TO: [redacted] ROOM 4371, EXT. 2587

b6
b7C

****

SCOPE OF SEARCH: UNRESTRICTED ACTIVE/INACTIVE (ADB)

****

TYPE OF SEARCH REQUESTED: ALL REFERENCES (SECURITY & CRIMINAL)

****

FR UTD ,

SPECIAL INSTRUCTIONS: X SIX WAY PHONETIC

SUBJECT IS DESCRIBED AS FOLLOWS:

NAME: BERGER,SAMUEL,RICHARD *
AKA: BERGER,SANDY,
DOB: 10/28/1945
POB: SHARON,CT *
SSAN: 122-38-9468
LOCALITIES: DC

****

RELATIVES: FR UTD ,

SPECIAL INSTRUCTIONS: X THREE WAY SEARCH

RELATIONSHIP	NAME	DOB	LOCALITIES
[redacted]			

b6
b7C
b7E

DATE: March 30, 1999

TO: Investigations Branch
OPM
ATTN: [redacted]

FROM: SPECIAL INQUIRY & GENERAL BACKGROUND
INVESTIGATIONS UNIT (SIGBIU) FBIHQ

b6
b7C
b7E

[redacted]

Berger, Samuel Richard 10/28/45 122-38-9468 [redacted]
Aka: Berger, Sandy
OFI-79-BI 1.15.93 FBI

[redacted]

b6
b7C
b7E

3 [redacted]

U.S. Department of Justice

Federal Bureau of Investigation

Washington, D.C. 20535

SEP 01 1999

SAMUEL RICHARD BERGER

The information in this summary memorandum supplements the information contained in the summary memorandum dated August 13, 1999, and completes the investigation.

Miscellaneous

During a routine interview conducted by the FBI on June 4, 1999, Mr. Berger advised that he had been receiving counseling for stress management for several years.

[redacted] Washington, D.C., advised the FBI that he had been counseling Mr. Berger for stress management since approximately 1992. [redacted] stated that he first met Mr. Berger at Sibley Memorial Hospital, when Mr. Berger presented himself for in-patient counseling. According to [redacted] Mr. Berger was suffering from anxiety and had engaged in a binge drinking episode. He diagnosed him with depression and released him after he underwent two days of treatment (not further identified). b6 b7C

[redacted] advised that Mr. Berger continues to receive therapy approximately once a month and is prescribed Clonazepam (1.5 mg. per day) and Pamelor (Nortriptyline, 75 mg. per day). He stated that Mr. Berger's depression is triggered by job-related stress and the medication is an effective treatment modality.

According to [redacted] Mr. Berger is not receiving a treatment nor does he have a condition which could impair his judgement or reliability, particularly in the context of safeguarding classified national security information or special nuclear information or material. He stated that his prognosis for Mr. Berger is excellent and recommended him for a position of trust and confidence with the United States government without reservation.

Copy of report as furnished to outside agency. Do not remove from file.

161F-HQ-1043770
[redacted]
1

COUNSELOR

[redacted]
300 Connecticut Avenue, NW
Washington, D.C.

b6
b7C

The following investigation was conducted by Special Agent [redacted] regarding the appointee, SAMUEL RICHARD BERGER:

On August 25, 1999, [redacted] 3000 Connecticut Avenue NW, Suite 336, Washington, D.C., advised that he has been counseling the appointee in stress management since 1992 or 1993; he could not verify the exact time frame as the appointee's original treatment chart has been archived. [redacted] met the appointee at Sibley Memorial Hospital where the appointee had presented himself for in-patient counseling. At the time, the appointee was suffering from anxiety and had engaged in a binge drinking episode.

[redacted] diagnosed the appointee with depression. The appointee underwent two days of treatment, after which he was released and returned to work. The appointee maintains on-going therapy with [redacted] approximately once a month. The appointee takes two anti-depressant medications: Clonazipan (1.5 mg per day) and Pamelar (Nortriptoline; 75 mg per day). [redacted] explained that the appointee's job-related stress triggers his depression. The medication is an effective treatment modality.

b6
b7C

[redacted] advised that the appointee absolutely does not have a condition or treatment that could impair his judgement or reliability, particularly in the context of safeguarding classified national security information or special nuclear information or material.

[redacted] advised that prognosis for the appointee is excellent. He recommended the appointee for a position of trust and confidence with the United States government without any reservation.

U.S. Department of Justice

Federal Bureau of Investigation

Washington, D.C. 20535

AUG 13 1998

SAMUEL RICHARD BERGER

This summary memorandum contains the partial results of a Level II five-year background reinvestigation concerning Mr. Berger and covers the period since February, 1993. Inquiries were conducted as to Mr. Berger's character, loyalty and general standing, but no inquiries were made as to the sources of his income.

Additional investigation is being conducted.

Biographical Data

Previous investigation determined Mr. Berger was born on October 28, 1945, in Sharon, Connecticut. He resides at 4228 45th Street, Northwest, Washington, D.C., [redacted] b6 b7C

Family Status

Since the completion of the last background investigation, Mr. Berger's, stepfather, Louis Laufer, has died.

Employment

Since February, 1993, Mr. Berger has continued to be employed by the National Security Council, Washington, D.C., initially as Deputy Assistant and subsequently as Assistant to the President for National Security Affairs.

Interviews

Seven individuals, consisting of Mr. Berger's supervisors, coworkers, neighbors and personal associates, were interviewed. They provided favorable comments concerning Mr. Berger's character, associates, reputation, and loyalty. All persons interviewed during the course of this background investigation stated they are unaware of any illegal drug use or alcohol or prescription drug abuse by Mr. Berger, nor have they ever known him to exhibit any type of bias or prejudice against any class of citizen or any type of religious, racial or ethnic

FD-263 (Rev. 4-30-85)

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
WFO	BUREAU	08/26/99	08/25/99

TITLE OF CASE
SAMUEL RICHARD BERGER

REPORT MADE BY: PSS [redacted] TYPED BY: [redacted] b6 b7C

CHARACTER OF CASE
LEVEL II -WHS

REFERENCE: Bureau EC dated 08/13/99.

(RUC)

ADMINISTRATIVE: BUDED 06/09/99

All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have not been granted.

This report is being submitted past BUDED due to the additional lead set after BUDED.

APPROVED [redacted] SPECIAL AGENT IN CHARGE

DO NOT WRITE IN SPACES BELOW

COPIES MADE:

2-BUREAU (161F-HQ-1043770)-16
PSS [redacted]
1-WFO

b6 b7C

[redacted] 83908 6-9-99 [redacted]

Accidentally Attached but not uploaded 8-31-99 [redacted]

DISSEMINATION RECORD OF ATTACHED REPORT				
Agency				
Request Recd.				
Date Fwd.				
How Fwd.				
By				

Notations

A*
COVER PAGE

FD-204 (Rev. 12-1-95)

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of: PSS [redacted] Office: WFO
Date: August 26, 1999

Case ID #: 161F-HQ-1043770-15

Title: SAMUEL RICHARD BERGER
AKA, SANDY

Character: LEVEL II - WHS

Synopsis: Counselor was interviewed.

(RUC)

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This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

[redacted] 7/9/99
393

63908

SEP 0 1 1999

BY COURIER

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[redacted]
Executive Office of the President
The White House
Washington, D.C.

Dear [redacted]

Reference is made to my letter to your office dated August 13, 1999, which furnished the partial results of a background investigation concerning Mr. Samuel Richard Berger.

Enclosed is a summary memorandum containing the results of an additional inquiry in this matter, along with a copy of an interview providing details of information contained in this summary memorandum. Also enclosed is a copy of your March 18, 1999, request which has been initialed and dated by a representative of the FBI's Office of General Counsel.

This completes our investigation. Should you have any questions, they may be directed to Supervisory Personnel Security Specialist [redacted] or myself, telephone number [redacted]

166F-HQ-1043110-17

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Sincerely yours,

[redacted]
Chief
Special Inquiry and General
Background Investigations Unit

Enclosures (3)

1 - [redacted]
National Security Council
Room 397
Old Executive Office Building
Washington, D.C.

[redacted] (2)

CLOSED

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SEE NOTE ON PAGE 2

Dep. Dir.
Chief of Staff
Off. of Gen. Counsel
Asst. Dir.
Crim. Inv.
CJIS
Finance
Info. Res.
Insp.
Lab.
National Sec.
Personnel
Training
Off. of EEOA
Off. of Public & Cong. Affs.
Director's Office

RETURN TO [redacted] ROOM 4371

MAIL ROOM

FBI/DOJ

[redacted]

NOTE: [redacted] interviewed and advised Mr. Berger had been receiving counseling for stress management and receiving medication. He recommended Mr. Berger for a position of trust. b6 b7C

[redacted] interview of 8/25/99 from WFO report dated 8/26/99 is being forwarded to the White House.

[redacted] 01 - WFO

SEP 0 1 1999

SAMUEL RICHARD BERGER

The information in this summary memorandum supplements the information contained in the summary memorandum dated August 13, 1999, and completes the investigation.

Miscellaneous

During a routine interview conducted by the FBI on June 4, 1999, Mr. Berger advised that he had been receiving counseling for stress management for several years.

[redacted] Washington, D.C., advised the FBI that he had been counseling Mr. Berger for stress management since approximately 1992. [redacted] stated that he first met Mr. Berger at Sibley Memorial Hospital, when Mr. Berger presented himself for in-patient counseling. According to [redacted] Mr. Berger was suffering from anxiety and had engaged in a binge drinking episode. He diagnosed him with depression and released him after he underwent two days of treatment (not further identified).

[redacted] advised that Mr. Berger continues to receive therapy approximately once a month and is prescribed Clonazepam (1.5 mg. per day) and Pamelor (Nortriptyline, 75 mg. per day). He stated that Mr. Berger's depression is triggered by job-related stress and the medication is an effective treatment modality.

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According to [redacted] Mr. Berger is not receiving a treatment nor does he have a condition which could impair his judgement or reliability, particularly in the context of safeguarding classified national security information or special nuclear information or material. He stated that his prognosis for Mr. Berger is excellent and recommended him for a position of trust and confidence with the United States government without reservation.

Dep. Dir.____
Chief of Staff____
Off. of Gen. Counsel____
Asst. Dir.____
Crim. Inv.____
CJIS____
Finance____
Info. Res.____
Insp.____
Lab.____
National Sec.____
Personnel____
Training____
Off. of EEOA____
Off. of Public & Cong. Affs.____
Director's Office____

[redacted] (3)

RETURN TO [redacted] ROOM 4371

MAIL ROOM ☐

FBI/DOJ

FEDERAL BUREAU OF INVESTIGATION
FOI/PA
DELETED PAGE INFORMATION SHEET
FOI/PA# 1340797-000

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Page 11 ~ b6; b7C;
Page 13 ~ Referral/Consult;
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Page 15 ~ Referral/Consult;
Page 16 ~ Duplicate;
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Page 19 ~ Duplicate;
Page 22 ~ Duplicate;
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(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 04/10/1996

To: WMFO **Attn:** SSA
SSA

From: FBIHQ
Corruption/Civil Rights Section/Public Corruption Unit/3149
Contact: SSA

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Approved By:

Drafted By:

File Number(s): 211-0 ~~(Pending)~~
58A-WF-200802

Title: see attached
SAMUEL R. BERGER, DEPUTY NATIONAL SECURITY ADVISOR;
ETHICS IN GOVERNMENT ACT OF 1978
cc: WMFO

~~ETHICS IN GOVERNMENT ACT OF~~ 1978

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Synopsis: Request for FBI investigative assistance in determining whether the captioned individuals are covered under the Independent Counsel Act, 28 U.S.C. Section 591 et seq.

Enclosures: Enclosed are two copies of a letter, dated 3/29/96, from Acting Assistant Attorney General, Criminal Division, Department of Justice (DOJ), to the Director, FBI.

Details: The enclosed letter requests the investigative assistance of the FBI in determining whether the captioned individuals are covered under the campaign officials provision of the Independent Counsel Act, 28 U.S.C. Section 591(b)(6).

It is noted that WMFO is currently conducting a conflict of interest investigation entitled, SAMUEL R. BERGER, DEPUTY NATIONAL SECURITY ADVISOR; CFPO-EXECUTIVE BRANCH; 58A-WF-200802"; and a fraud against the government investigation entitled,

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211-WF-203315-1

The Public Integrity Section (PIS), DOJ, is seeking this information in order to make a legal judgement a a recommendation must be made to the Attorney Genera

4/22/96

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211-WF-new
4/19/96

SERIALI
1 APR 17 1996
FBI — WASH. METRO FIELD OFFICE

FEDERAL BUREAU OF INVESTIGATION

To: WMFO From: FBIHQ
Re: 211-0, 04/10/1996

the possible appointment of an Independent Counsel for any further investigation of the captioned individuals.

WMFO is requested to assign an Agent(s) who should contact Trial Attorneys Susan Park and/or Bea Witzleben, PIS, telephone number [redacted] for further information. b6 b7C

CC: 1 - [redacted]
♦♦

U. S. Department of Justice

Criminal Division

Office of the Assistant Attorney General *Washington, D.C. 20530*

March 29, 1996

MEMORANDUM

TO: Louis J. Freeh
Director
Federal Bureau of Investigation

FROM: [redacted]
Acting Assistant Attorney General

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SUBJECT: Request for Assistance

I request that you assign an agent to conduct an investigation sufficient to determine whether certain persons are covered under the Independent Counsel Act, 28 U.S.C. § 591 et seq. These persons are:

[redacted]
Samuel R. Berger, Deputy National Security Advisor
[redacted]

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The investigation should focus on whether these individuals are covered under the campaign officials provision of the Independent Counsel Act, 28 U.S.C. § 591(b)(6). Under that provision, campaign officials of the incumbent's principal national campaign committee are covered by the Independent Counsel Act if they are "officers" of that committee "exercising authority on a national level." We have received information that each of the above-named individuals may have been associated with the 1992 Clinton/Gore Campaign Committee; we need to know what role, if any, they played on the campaign in order to make the legal judgment whether they are covered under the Independent Counsel Act.

Please have the agent assigned contact Susan Park or Bea Witzleben of the Public Integrity Section for further information. They may be reached at [redacted]

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DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 03-12-2025 BY: [redacted]

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End of Data
04/22/96 List Summary Response UNI050M6
14:27:51 ~~SECRET~~ Page 1 of 3
Type X, x, or / to view Full Response, then press Enter.

Seq	Name Type	Name	Case ID		M/R
1	A	BERGER, SAMUEL, R	161B-HO-1043770		M
2		BERGER, SAMUEL, R	[redacted]	b3	M
3		BERGER, SAMUEL, R		b7E	R
4		BERGER, SAMUEL, R			R
5		BERGER, SAMUEL, RICHARD	161B-HQ-R1043770 (RH)		M
6		BERGER, SAMUEL, RICHARD	161B-HQ-1043770		M

~~SECRET~~
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4BÜ # 10,02 T

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 04/22/1996

To: [redacted] **Attn:** Public Corruption Squad
Attn: Public Corruption Squad

From: WMFO
C-20/NVMRA
Contact: SA [redacted] (202) 324-6174

Approved By: [redacted]

Drafted By: [redacted]

File Number(s): [redacted] ~~(Pending)~~
~~(Pending)~~
211-WF-202215 ~~(Pending)~~

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Title: [redacted]
Ethics in Government Act of 1978-THRESHOLD INQUIRY;
OO: WF
[redacted]

[redacted]
EIGA-THRESHOLD INQUIRY;
OO: WF
[redacted]

SAMUEL RICHARD BERGER, aka
Sandy Berger-Deputy National Security Advisor;
EIGA-THRESHOLD INQUIRY;
OO: WF
211-WF-203315

Synopsis: To set forth leads in captioned matters.

Administrative: It is requested that this matter be investigated expeditiously (by COB 4/29/96), as there is a 15 day statutory limit on the length of EIGA-Threshold Inquiry investigations.

#1644 -deleted

2
2 [redacted]
(1) WMFO (211-WF-203315)
[redacted]
(5)

211-WF-203315-2

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED FILED
APR 17 1996
FBI — WASH. METRO FIELD OFFICE
[redacted]

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Details: Investigation in this matter was predicated on a request by the Department of Justice, Public Integrity Section. [redacted] Berger were advisors to the CLINTON/GORE campaign on issues involving foreign policy. Investigation has revealed that [redacted] b6 b7C b7E

Berger took a leave of absence from the law firm of Hartson & Hogan, Washington, D.C., where he was a partner, in order to work on the campaign. Berger advised then Governor Clinton on foreign policy matters. Berger brought [redacted] into the campaign. [redacted] President Clinton and Berger is his Deputy.

[redacted] b6 b7C

In order to determine whether or not Berger, [redacted] is a covered person, other individuals who worked on the campaign, as well as former co-workers, need to be interviewed. The determination of whether Berger, [redacted] is covered will be made independently of one another; therefore, interviews conducted need to specifically distinguish between the three individuals. Although there is no exact legal definition of a "covered" individual, answers to the below list of questions will aid in that determination and, when appropriate, should be included in interviews conducted:

1) Interviewee's title and role in the 1992 campaign, and for how long.

2) Title and role for Berger, [redacted]

3) Did Berger, [redacted] b6 b7C b7E

a) [redacted]
b)
c)
d)
e)
f)
g)
h)

4) [redacted]

5) [redacted]

6) [redacted]

7) [redacted]

8) [redacted]

9) [redacted]

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Descriptive Data:

Main Subject	(211-WF-203315)
Race:	W
Sex:	M
Name -	
Last:	BERGER
First:	SAMUEL
Middle:	RICHARD
DOB:	10-28-45
POB:	Sharon, CT
SSAN: #:	122-38-9468
Alias:	
Last:	BERGER
First:	SANDY

Main Subject	[redacted]
Race:	
Sex:	
Name -	
Last:	
First:	
Middle:	
DOB:	
POB:	
SSAN: #:	
Alias:	
Last:	
First:	

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LEAD(s):

Set Lead 1:

[redacted]

AT [redacted]

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Locate and interview [redacted] regarding Berger's, [redacted] respective roles in the 1992 Presidential campaign, as set forth in "Detail" section above.

Set Lead 2:

[redacted]

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AT [redacted]

Locate and interview [redacted] regarding Berger's, [redacted] respective roles in the 1992 Presidential campaign, as stated above.

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AT [redacted]

Locate and interview [redacted] regarding Berger's, [redacted] respective roles in the 1992 Presidential campaign, as stated above.

♦♦

211-WF-203315 - 3

[redacted]

SEARCHED [redacted]
SERIALIZED
APR 17 1996
FBI — WASH. METRO FIELD OFFICE

[redacted]

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FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 4/23/96

ELI SEGAL, Chairman, (202) 337-2562, Partnership for National Service, K Street, Northwest, Washington, D.C., was advised of the identity of the interviewing Agent and the nature of the interview. He thereafter provided the following information:

SEGAL was the Chief of Staff in the CLINTON/GORE campaign from February or March 1992 until the election. SEGAL primarily handled the "nuts and bolts" issues on the campaign and had no influence over policy. SEGAL had little contact with individuals who worked strictly on policy issues.

SEGAL described SANDY BERGER's role in the campaign as the Chief Foreign Policy Advisor for the then candidate. BERGER worked on the National level. SEGAL was unaware if BERGER had any authority to hire and fire staff but felt that anyone working for BERGER would have been a volunteer. BERGER himself was a volunteer on the campaign. SEGAL did not know how much authority BERGER and did not believe that BERGER would have made any major decisions in that the candidate made all Foreign policy decisions.

SEGAL did not know to whom BERGER reported but suggested it may have been the candidate himself. SEGAL did not know how BERGER fit on an organizational chart but by virtue of his, BERGER's, relationship with the candidate, he would have been high up in the campaign. SEGAL had no knowledge of BERGER attending any strategy meetings.

BERGER had a lot of access to the candidate because he was advising on substantive matters. BERGER had no authority to spend any money. BERGER was physically located in Washington, D.C.

SEGAL summarized that [redacted] as BERGER in the campaign, only less. [redacted] because of a request made by BERGER. SEGAL had only the dimmest knowledge of what [redacted] was actually doing on the campaign but believed [redacted]

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Investigation on 4/22/96 at Falls Church, Virginia

File # [redacted] and 211-WF-203315

by SA [redacted] Date dictated 4/23/96

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

FD-302a (Rev. 11-15-83)

[redacted] 211-WF-203315

Continuation of FD-302 of ELI SEGAL, On 4/22/96, Page 2

[redacted] by BERGER. Like BERGER, [redacted]

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SEGAL did not know who [redacted] was other than [redacted]

211-WF-203315-4

[redacted]

SEARCH SERIALIZ[redacted]

APR 2 4 1990

FBI — WASH. METRO FIELD OFFICE

[redacted]

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211-WF-203315-
5

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
MAY 03 1995
FBI — WASH. METRO FIELD OFFICE
[redacted]

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[redacted]

WMFO 211-WF-203315

[redacted]

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b7D
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The following investigation was conducted by SA [redacted] on April 3, 1996. [redacted] who is in a position to [redacted] provided the following information:

Source researched [redacted] (X) [redacted]

Those records indicated the following:

1. [redacted]

2. [redacted]

No additional relevant information was provided by Source.

[redacted]

(1) 211-WF-203315

211-WF-203315-6

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]

MAY 1996

FBI — WASH. FIELD OFFICE

[redacted]

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[redacted] WMFO 211-WF-203315
[redacted]
1

The following investigation was conducted telephonically by SA [redacted] on April 4, 1996, at [redacted] who is in a position to [redacted] provided the following information: b6 b7C b7D b7E

Source researched [redacted] Source stated that [redacted] he would fax the relevant information to SA [redacted] On this same date, Source sent [redacted] to SA [redacted] via facsimile.

[redacted]

[redacted]
211-WF-203315

211-WF-203315-7

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
MAY 1996
FBI — WASH. FIELD OFFICE
[redacted]

b6 b7C

211-WF-203315

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FBI — WASH. METRO FIELD OFFICE

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211-WF-203315

[redacted]

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The following investigation was conducted by Special Agent [redacted] Washington Metropolitan Field Office on April 29, 1996:

The attached documents were obtained from a review of the HQ file 161-HQ-1043770.

9971

FD-302 (REV. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription: 1/28/93

SAMUEL RICHARD BERGER, Deputy Assistant to the President for National Security Affairs, NSC, was advised of the identity of the interviewing Agent, and the purpose of the interview; to ensure that complete, current and accurate information is provided concerning the appointee to assist the FBI in conducting a thorough background investigation of the appointee for the purpose proposed by the Federal Government for which the appointee is being considered. The appointee provided the following information:

The appointee was shown a copy of a Standard Form 86(SF-86), which was completed, signed and dated 1/13/93. Each of the appointee's answers to the questions therein were reviewed with the appointee to ensure their accuracy and completeness. The appointee advised that the written responses to each of the questions in the SF-86 and supplements (if provided) were accurate and correct to the best of the appointee's knowledge and recollection with the following corrections.

The appointee has never been denied employment, dismissed from any employment or left any employment under unfavorable circumstance, or denied a security clearance by any agency within the Federal Government.

Since the appointee's 18th birthday, the appointee has used marijuana in the time period from 1970 to 1975 about twelve times, when he was in Law School He smoked marijuana at parties and social gatherings when it was offered to him. The appointee had never purchased marijuana for his own use, and has never sold or bartered any illegal drug. The appointee does not currently associate with known illegal drug users. The appointee has never used any other illegal drugs. BERGER said that he had a potential problem involving alcohol. About three years ago, he was unhappy in his job, and from time to time, began to drink to relax and help him to sleep. He also began to see [redacted] to help him sort out his feelings. BERGER said that in November, 1991, he had to work on a Saturday, and went to the office and when he arrived, realized that he was not able to function as he should. He decided to check himself into Sibley Hospital for a day and a half. He saw [redacted] and began seeing [redacted] also at Sibley Hospital. He continues to see [redacted] about once every other week. He said that since November, 1991, he has not had any problem with alcohol, and only rarely takes a glass of wine. He said that his mental and physical state of health is excellent with the exception to his weight since he stopped smoking.

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Investigation on 1/28/93 at Washington, DC File# 161-1043770
by SA [redacted] Date dictated 1/27/93

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This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

The appointee has not in the last five years, had any financial problem either individually or a company which the appointee exercised some control, filed for bankruptcy, been declared bankrupt, been subject to a tax lien, or had legal judgement rendered against the appointee for a debt. The appointee is not currently over 180 days delinquent on any loan or financial obligation, or on any student loan.

The appointee has never been involved in any type of civil matter as a plaintiff or defendant in the past five years.

The appointee has never visited for personal reasons, had personal or continuing contact with representatives of any hostile foreign country. He said that he has had numerous professional contacts as a State Department employee, and had registered as a Foreign Agent while his firm was doing pro bono work for the Polish government in 1989. He said that he only worked for a period of two or three weeks on this project. He said that [redacted] was best acquainted with this activity at HOGAN and HARTSON. b6 b7C

The appointee has not in the past five years been involved in any criminal matter as a suspect or subject, nor ever been arrested for, charged with, or convicted of, any criminal offense.

The appointee has never received treatment and counseling for any mental or emotional problem, except for the previously mentioned problem associated with alcohol consumption.

The appointee has never been the subject of any professional complaints or nonjudicial disciplinary action. BERGER is a member of the DC Bar.

The appointee has never been involved in any business or investment circumstances that could involve/have involved conflict off interest allegations.

The appointee's oral responses to the above questions are true and correct to the best of the appointee's knowledge and recollection. The appointee is unaware of anything that could, would, or should prevent the appointee from receiving a position dealing with the United States Government or be used to coerce, embarrass or compromise the appointee.

BERGER said that he has completly severed all ties to his former law firm, and with Temple Sinai, and the International Human Rights Law Group.

BERGER said that in September, 1992, he took a leave of absence to work on the CLINTON campaign as the Foreign Policy Advisor, and worked directly for CLINTON. After the election, he worked for [redacted] His current supervisor, [redacted] was familiar with his activities during those two periods. b6 b7C

BERGER said that he and [redacted] own a cabin on 250 acres in Shenadoah Co. Va. near Zepp, Va. He has not used this property recently, but has owned it since 1973.

WMFO: 161-B-HQ-1043770
[redacted] b6 b7C

EMPLOYMENT
Executive Office of the President,(EOP)
National Security Council, (NSC)
Washington, D.C.

The following investigation was conducted by SA [redacted] regarding SAMUEL RICHARD BERGER on 1/16-29/93. b6 b7C

[redacted] Office of Administration, advised that she did not have a Official Personnel File on the appointee to release at this time. She advised that she could not estimate when they would be available.

[redacted] advised that he has known the appointee for [redacted] on both a professional and personal basis. He said that the appointee [redacted] and that he maintained contact with him a limited personal basis following that employment, until the 1992 Presidential campaign. b6 b7C

[redacted] said that he could verify that the appointee was the primary National Security Advisor to then Governor CLINTON during the campaign beginning in September, 1992. He technically began working for [redacted] during the transition period, but actually continued to report to the President-Elect, and himself. [redacted] he immediately asked the appointee to become his deputy.

[redacted] said that he has traveled with the appointee on numerous occasions, and has socialized with him. He said that the appointee has left a lucrative law practice to come to the Government again. He said that the appointee and his family live within their financial means.

WMFO: 161-B-HQ-1043770
[redacted]

[redacted] said that he was aware of any illegal drug use or any problems involving alcohol abuse. He was not aware of any mental problems. He vouched for his character, loyalty and reputation. He associates publicly and privately with persons of similar good character. b6 b7C

[redacted] said that the appointee was a competent, knowledgeable, and dependable individual. He does not have any bias or prejudice towards any class of citizen.

[redacted] said that he strongly recommends the appointee for his current position as his Deputy Assistant for National Security Affairs.

11 YOUR EMPLOYMENT ACTIVITIES

Fill in your employment activities, beginning with the present (#1) and working backward 15 years. INCLUDE:

- all full-time work
- all part-time work
- all paid work
- active military duty
- self-employment
- all periods of unemployment

IN THE NUMBERED ACTIVITY SECTION USE ONE OF THESE CODES IN THE CODE BLOCK:

1 - Active military duty stations
2 - National Guard/Reserve
3 - U.S.P.H.S. Commissioned Corps
4 - Other Federal employment
5 - State Government (Non-Federal) employment
6 - Self-employment (Enter business name and/or name of person who can verify)
7 - Unemployment (Enter name of person who can verify)
8 - Federal Contractor (list Contractor, not Federal agency)
9 - Other

FOR EACH ACTIVITY SECTION, provide information requested. **For example,** if you had worked at XY Plumbing in Denver, CO, for 3 separate periods of time, you would enter dates and information concerning the most recent period of employment first, and provide dates, position titles, and supervisors for the two previous periods of employment in the appropriate blocks below that information. (For locations outside the U.S., show city and country.)

#1 Month/Year Month/Year	Code	Employer's Name/Military Service/Unemployment or Self-Employment Venher	Your Position Title
Present To 1981	6	HOGAN & HARTSON	PARTNER (183-'93)

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
555 13th ST, N.W.	WASHINGTON	D.C	2.0010-1014	(202) 637-5600
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number
				( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number
				( )

b6
b7C

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year	Your Position Title & Supervisor's Name	Month/Year Month/Year	Your Position Title & Supervisor's Name
1/73 To 8/77	associate /	To	
To		To	

#2 Month/Year Month/Year	Code	Employer's Name/Military Service/Unemployment or Self-Employment Venher	Your Position Title
8/77 To 1/81	4	U.S. DEPARTMENT OF STATE	DEPUTY DIRECTOR POLICY PLANNING STAFF

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
23rd / C ST, N.W.	WASHINGTON	D.C		
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number
				( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

b6
b7C

Month/Year Month/Year	Your Position Title & Supervisor's Name	Month/Year Month/Year	Your Position Title & Supervisor's Name
To		To	
To		To	

#3 Month/Year Month/Year	Code	Employer's Name/Military Service/Unemployment or Self-Employment Venher	Your Position Title
To			

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
				( )
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number
				( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number
				( )

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year	Your Position Title & Supervisor's Name	Month/Year Month/Year	Your Position Title & Supervisor's Name
To		To	
To		To	

Enter your Social Security Number before going to the next page → 124-13-9-1714

YOUR EMPLOYMENT ACTIVITIES (Continued)

#4 Month/Year Month/Year To	Code	Employer's Name/Military Service/Unemployment or Self-Employment Verifier	Your Position Title

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
				( )
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number
				( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number
				( )

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year To	Your Position Title & Supervisor's Name	Month/Year Month/Year To	Your Position Title & Supervisor's Name
To		To	

#5 Month/Year Month/Year To	Code	Employer's Name/Military Service/Unemployment or Self-Employment Verifier	Your Position Title

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
				( )
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number
				( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number
				( )

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year To	Your Position Title & Supervisor's Name	Month/Year Month/Year To	Your Position Title & Supervisor's Name
To		To	

#6 Month/Year Month/Year To	Code	Employer's Name/Military Service/Unemployment or Self-Employment Verifier	Your Position Title

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
				( )
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number
				( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number
				( )

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year To	Your Position Title & Supervisor's Name	Month/Year Month/Year To	Your Position Title & Supervisor's Name
To		To	

#7 Month/Year Month/Year To	Code	Employer's Name/Military Service/Unemployment or Self-Employment Verifier	Your Position Title

Employer's/Verifier's Street Address	City (Country)	State	ZIP Code	Telephone Number
				( )
Street Address of Job Location (if different than Employer's Address)	City (Country)	State	ZIP Code	Telephone Number
				( )
Supervisor's Name & Street Address (if different than Job Location)	City (Country)	State	ZIP Code	Telephone Number
				( )

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year To	Your Position Title & Supervisor's Name	Month/Year Month/Year To	Your Position Title & Supervisor's Name
To		To	

Enter your Social Security Number before going to the next page → 121-38-1946

12 PEOPLE WHO KNOW YOU WELL

List two people who know you well and live in the United States.

- Don't list spouse, other relatives, or former spouses.
- Try not to list anyone mentioned in item 9, 10, or 11.

	Name	Number Years Known	Telephone Number:
#1	MR. ELI SEGAL	20	( ) Day ( ) or Night ( )
	Home Address	**City (Country)**	**State / ZIP Code**
	314 DARTMOUTH ST.	BOSTON	MA 02116
#2			b6 b7C

13 YOUR OUTSIDE ACTIVITIES

List any activities which you may wish to have considered as reflecting favorably on your reputation for leadership, responsibility, honesty, and integrity in the last 15 years. (Response Optional)

	Month/Year To Month/Year	Activity	Location of Activity: City (Country)	State
#1	1985 To 1992	TRUSTEE, TEMPLE SINAI	WASHINGTON	DC
#2	1981 To 1992	BD OF DIR, INTERNATIONAL HUMAN RIGHTS LAW GP	WASHINGTON	DC
#3	1983 To Present	MEMBER, COUNCIL ON FOREIGN RELATIONS	NEW YORK	NY

14 YOUR FOREIGN ACTIVITIES

		Yes	No
a.	Do you have any foreign property, business connections, or financial interests?		X
b.	Are you now or have you ever been employed by or acted as a consultant for a foreign government, firm, or agency?	X	
c.	In the last 15 years, have you had continuing contact with a national of any foreign country designated by the agency instructing you to fill out this form? (NOTE: If the agency wants you to answer this question, it will provide you with a list of countries.)		

If you answered "Yes" to a, b, or c, explain in the space below:

Registered under Foreign Agents Registration Act for work done at Hogan + Hartson for Ministry of Finance Gov't of Poland (1989)

15 FOREIGN COUNTRIES YOU HAVE VISITED

List foreign countries you have visited, beginning with the most current (#1) and working backward 15 years.

- Do not include countries covered in items 9, 10, and 11.
- In the "Code" block, use one of these codes: 1 - Business 2 - Pleasure 3 - Education 4 - Other

	Month/Year To Month/Year	Code	Country		Month/Year To Month/Year	Code	Country
#1	1982 To 1992	1	Japan - 1 trip/year for approximately 1 wk.	#3	12/91 To	2	Mexico
#2	1979 To 1991	2	Barbados 1 Trip/year for approx. 1 wk.	#4	11/91 To	1	Poland

16 YOUR MILITARY HISTORY

		Yes	No
a.	Have you served in the United States military?	X	
	Have you served in the United States Merchant Marine?		X

- If your answer to both questions is "No," GO TO QUESTION 17.
- If your answer to either question is "Yes," GO TO b.

b. Starting with the most current (#1) and working backward, enter information for all periods of active service into the table below.

- Mark "O" block for Officer or "E" block for Enlisted.
- In the "Code" block, use one of these codes:

1 - Air Force 2 - Army 3 - Navy 4 - Marine Corps 5 - Coast Guard 6 - Merchant Marine 7 - National Guard

	Month/Year To Month/Year	Code	Service/Certificate #	O	E	Status (Mark "X" in appropriate blocks - use State Code for National Guard) None	Active Duty	Active Reserve	National Guard (show State)	Inactive Reserve	Retired
#1	1968 To 1974	2			X			X			
#2	To										
#3	To										
#4	To										

Enter your Social Security Number before going to the next page → 122-38-1914681

17 YOUR RELATIVES

Give full names and enter the correct code for all relatives, living or dead, specified below:

1 - Mother *(first)* 4 - Stepfather 7 - Stepchild 10 - Stepbrother 13 - Half-sister 16 - Guardian
2 - Father *(second)* 5 - Foster parent 8 - Brother 11 - Stepsister 14 - Father-in-law
3 - Stepmother 6 - Child *(adopted also)* 9 - Sister 12 - Half-brother 15 - Mother-in-law

Full Name *(if deceased, check box on the left before entering name)*	Code	Date of Birth Month/Day/Year	Country of Birth	Country of Citizenship	Current Street Address and City *(country)* of Living Relatives	State
☒ Rose Lehrman Berger Laufer	1	7/23/10	U.S.	U.S.		
☒ ALBERT AARON BERGER	2	10/05/09	U.S.	U.S.		
☐ Louis Laufer	4	unk.	U.S.	U.S.		
☐						
☐						
☐						
☐						
☐						
☒ MELVIN HARRISON	14	3/16/18	U.S.	U.S.		

18 YOUR MARITAL STATUS

Mark one of the following boxes to show your current marital status:

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b7C

☐ 1 - Never married *(go to question 19)*
☒ 2 - Married
☐ 3 - Separated
☐ 4 - Legally Separated
☐ 5 - Divorced
☐ 6 - Widowed

Current Spouse Complete the following about your current spouse.

If Separated, Date of Separation *(Mo./Day/Yr.)*	If Legally Separated, Where is the Record Located? City *(Country)*	State

Former Spouse(s) Complete the following about your former spouse(s), use blank sheets if needed.

Full Name	Date of Birth	Place of Birth *(include country if outside the U.S.)*	State
Country of Citizenship	Date Married	Place Married *(include country if outside the U.S.)*	State
Check One, Then Give Date ☐ Divorced ☐ Widowed	Month/Day/Year	If Divorced, Where is the Record Located? City *(Country)*	State

Address of Former Spouse *(Street, city, and country if outside the U.S.)* — State | ZIP Code

19 PERSONS LIVING WITH YOU

Does the citizen of another country, or a United States citizen by other than birth, live at your residence? If "Yes," provide the information required below. If a United States citizen by other than birth lives with you, show both "United States" and prior country of citizenship below. Don't list your spouse or other relatives you provided in question 17.

Yes	No

Name of Person	Country of Citizenship	Relationship

This concludes Part 1 of this form. If you have used Page 9, continuation sheets, or blank sheets to complete any of the questions in Part 1, give the number for those questions in the space to the right: → 15, 17

Enter your Social Security Number before going to the next page → 112-38-4468

Standard Form 86
Revised December 1990
U.S.Office of Personnel Management
FPM Chapter 732

QUESTIONNAIRE FOR SENSITIVE POSITIONS (For National Security)

Form approved:
O.M.B. No. 3206-0007
NSN 7540-00-634-4036
86-110

Part 2

20 YOUR SELECTIVE SERVICE RECORD

	Yes	No
a. Are you a male born after December 31, 1959? If "No," go to 21. If "Yes," go to b.		
b. Have you registered with the Selective Service System? If "Yes," provide your registration number. If "No," show the reason for your legal exemption below.		

Registration Number | Legal Exemption Explanation

21 YOUR MILITARY RECORD

	Yes	No
a. Have you ever received other than an honorable discharge from the military? If "Yes," provide: Date of Discharge *(Month and Year)*: Type of Discharge:		X
b. Have you ever been subject to court-martial or other disciplinary proceedings under the Uniform Code of Military Justice? If "Yes," list any disciplinary proceedings in the last 15 years and all courts-martial. (Include non-judicial and Captain's mast, etc.)		X

Month/Year	Charge or Specification / Action Taken	Place *(City and county/country if outside the United States)*	State

22 YOUR EMPLOYMENT RECORD

Has any of the following happened to you in the last 15 years? If "Yes," begin with the most recent occurrence and go backward, providing date fired, quit, or left, and other information requested.

Yes	No
	X

Use the following codes and explain the reason your employment was ended:

1 - Fired from a job
2 - Quit a job after being told you'd be fired
3 - Left a job by mutual agreement following allegations of misconduct
4 - Left a job by mutual agreement following allegations of unsatisfactory performance
5 - Left a job for other reasons under unfavorable circumstances

Month/Year	Code	Specify Reason	Employer's Name and Address	State	ZIP Code

23 YOUR POLICE RECORD *(Do not include anything that happened before your 16th birthday.)*

	Yes	No
a. Have you ever been charged with or convicted of any felony offense?		X
b. Have you ever been charged with or convicted of a firearms or explosives offense?		X
c. Are there currently any charges pending against you for any criminal offense?		X
d. Have you ever been charged with or convicted of any offense(s) related to alcohol or drugs?		X
e. In the last 5 years, have you been arrested for, charged with, or convicted for any offense(s) not listed in response to a, b, c, or d above? *(Leave out traffic fines of less than $100.)*		X

If you answered "Yes" to a, b, c, d, or e above, explain your answer(s) in the space provided.

Month/Year	Offense	Action Taken	Law Enforcement Authority or Court *(City and county/country if outside the U.S.)*	State	ZIP Code

24 YOUR MEDICAL RECORD

	Yes	No
a. Have you experienced problems on or off the job because of any emotional or mental condition?	X	
b. Have you ever seen a health care professional for any of the types of problems mentioned above?	X	

If you answered "Yes" to questions a or b, explain below.

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b7C

Month/Year	Month/Year	Explanation
1989	To 1992	for career counseling + stress management, with occasional use of alcohol ending in '9.
	To	For further information, contact

Enter your Social Security Number before going to the next page → 122-38-1968

25 ILLEGAL DRUGS AND ALCOHOL

	Yes	No
a. In the last 5 years, have you used, possessed, supplied, or manufactured any illegal drugs? When used without a prescription, illegal drugs include marijuana, cocaine, hashish, narcotics (opium, morphine, codeine, heroin, etc.), stimulants (cocaine, amphetamines, etc.), depressants (barbiturates, methaqualone, tranquilizers, etc.), hallucinogenics (LSD, PCP, etc.). *(NOTE: The information you provide in response to this question will not be provided for use in any criminal proceedings against you.)*		X
b. Have you experienced problems (disciplinary actions, evictions, formal complaints, etc.) on or off a job from your use of illegal drugs or alcohol?		X

If you answered "Yes" to question a or b above, provide information relating to the types of substance(s), the nature of the activity, and any other details relating to your involvement with illegal drugs or alcohol. Include any treatment or counseling received.

Month/Year Month/Year	Type of Substance	Explanation
To		
To		
To		

26 YOUR INVESTIGATIONS RECORD

	Yes	No
a. Has the United States Government ever investigated your background? If **"Yes,"** use the codes that follow to provide the requested information below. If **"Yes,"** but you can't recall the investigating agency and/or the security clearance received, enter **"Other"** agency code or clearance code, as appropriate, and **"Don't know"** or **"Don't recall"** under the **"Other Agency"** heading, below. If your response is **"No,"** or you don't know or can't recall if you were investigated and cleared, check the "No" box.	X	

Codes for Investigating Agency
1 - Defense Department
2 - State Department
3 - Office of Personnel Management
4 - FBI
5 - Treasury Department
6 - Other *(Specify)*

Codes for Security Clearance Received
0 - Not Required
1 - Confidential
2 - Secret
3 - Top Secret
4 - Sensitive Compartmented Information
5 - Q-Sensitive
6 - Q-Nonsensitive
7 - L
8 - Other

Month/Year	Agency Code	Other Agency	Clearance Code	Month/Year	Agency Code	Other Agency	Clearance Code
1977	2		3				

	Yes	No
b. To your knowledge, have you ever had a clearance or access authorization denied, suspended, or revoked, or have you ever been debarred from government employment? If **"Yes,"** give date of action and agency.		X

Month/Year	Department or Agency Taking Action	Month/Year	Department or Agency Taking Action

27 YOUR FINANCIAL RECORD

	Yes	No
a. In the last 5 years, have you, or a company over which you exercised some control, filed for bankruptcy, been declared bankrupt, been subject to a tax lien, or had legal judgment rendered against you for a debt? If you answered **"Yes,"** provide date of initial action and other information requested below.		X

Month/Year	Type of Action	Name Action Occurred Under	Name/Address of Court or Agency Handling Case	State	ZIP Code

	Yes	No
b. Are you now over 180 days delinquent on any loan or financial obligation? Include loans or obligations funded or guaranteed by the Federal Government. *(If an SF 171, Application for Federal Employment, will be attached, you do not need to repeat Federal Government delinquencies. See the instructions headed, "How is the SF 171 used with this form?")*		X

If you answered **"Yes,"** provide the information requested below:

Month/Year	Type of Loan or Obligation and Account #	Name/Address of Creditor or Obligee	State	ZIP Code

Enter your Social Security Number before going to the next page → 121-38-1468

211-WF-203315 - 9

[redacted]

SEARCHED [redacted] INDEXED
SERIALIZED [redacted] FILED [redacted]

APR 30 19[redacted]

FBI — WASH. METRO FIELD [redacted]

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211-WF-203315
[redacted]
1

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The following investigation was conducted by Special Agent [redacted] Washington Metropolitan Field Office, on April 29, 1996:

A Lexus-Nexus search for [redacted] "SANDY BERGER" and "Presidential campaign" was conducted by SIOC, FBIHQ. The results of search were reviewed with pertinent articles subsequently printed in their entirety. The attached are copies of the articles germane to ongoing investigation.

#1698

LEVEL 1 - 2 OF 3 STORIES

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The National Journal

June 19, 1993

SECTION: WHITE HOUSE; Vol. 25, No. 25; Pg. 1479

LENGTH: 1574 words

HEADLINE: Clinton's Team Players

BYLINE: Dick Kirschten

HIGHLIGHT:
NATIONAL SECURITY COUNCIL
ESTABLISHED: 1947
ADDRESS: Old Executive Office Building, Washington, D.C., 20506
1993 BUDGET: $ 6.1 million
EMPLOYMENT LEVEL: 162
FUNCTION: Advising the President on domestic, foreign and military policies relating to national security

BODY:

If the beau ideal for presidential advisers is to stay out of sight and let policy results speak for themselves, the professional staff of President Clinton's National Security Council (NSC) is batting about .500.

While his aides kept an admirably low profile, the President's foreign policy got off to a shaky start. Rallying to the aid of Russia's Boris N. Yeltsin brought good reviews, but when the Bosnian conflict was elevated to a crisis, European leaders rebuffed Clinton's solution. Worse yet, a coup-imposed regime in tiny Haiti initially saluted Clinton diplomacy by thumbing its nose.

Despite the mixed early returns, the Clinton NSC appears well positioned to carry out its basic function: when possible, to reconcile interagency differences; when not, to present the President with well-defined options.

By law, the council's members are the President, the Vice President and the Secretaries of Defense and State. The chairman of the Joint Chiefs of Staff and the CIA director are statutory advisers.

To emphasize the importance of economic considerations, Clinton has added Treasury Secretary Lloyd Bentsen and National Economic Council chief Robert E. Rubin to the NSC. U.N. ambassador Madeleine K. Albright also participates.

Before issues go to a formal NSC meeting that the President chairs, they can be vetted at three lower levels. National security adviser Anthony Lake chairs meetings of the "principals' committee," which Cabinet-level NSC members attend. "Deputies' committee" meetings are run by Lake's deputy, Samuel R. (Sandy) Berger, and are attended by the No. 2 officials of the key agencies. NSC "working groups" conduct preliminary issue reviews.

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Many members of Clinton's national security team vividly recall the frictions between Secretary of State Cyrus R. Vance and national security adviser Zbigniew Brzezinski that marred decision making in the Carter Administration. They say they are determined not to repeat the experience.

"Fortunately, we happen to be old friends and colleagues, and I think it will be easy for us to get into a working relationship," Secretary of State Warren M. Christopher told reporters in January, explaining that he, Lake and Defense Secretary Les Aspin had carefully discussed the NSC framework.

Compared with the Carter years, collegiality is vastly improved, undersecretary of State for political affairs Peter Tarnoff said at a press luncheon in May. Thus far, he said, "I've never been surprised by a bureaucratic move by any other agency partner. . . . I'm on the phone with counterparts a dozen times a day. We tell each other things as we learn about them."

But dealing openly doesn't guarantee agreement. Although he hasn't been surprised by his colleagues' "tactics," Tarnoff said, he has been "surprised by the views of others sometimes."

Clinton's decision to seek European support for air strikes against Serbian forces while arming their Muslim adversaries appeared to ignore the concerns of military planners and diplomatic warnings -- which proved correct -- that allied leaders wouldn't go along.

Some critics say the problem was less the decision itself than how long it took the NSC to produce it. "It appears to be the same process as on the domestic side," a disgruntled Democratic activist said. Clinton is "running foreign policy as a day-to-day seminar; that's the only way to account for all of the twists and turns we've seen on Bosnia."

PRINCIPAL OFFICERS

Anthony Lake
Assistant to the President for national security affairs
First Floor, West Wing (202) 456-2255

As a scholar and college professor, Lake, 54, has written vividly about the personalities and the bureaucratic politics that shaped policy during his stints as a foreign service officer in the 1960s and as a State Department policy planner in the 1970s.

His books suggest an understanding of the interagency decision-making process that should serve him well in formulating foreign policy options for a President whose interests run to domestic issues. But Lake, whose demeanor is low-key and avuncular, is not seen as a tough infighter or driver of decisions. Nor does he have the reputation that such illustrious predecessors as Brzezinski and Henry A. Kissinger had as brilliant geopolitical strategists.

In the Carter Administration, when Lake headed the State Department's policy planning staff, the unit "wasn't particularly known for its creativity," a department veteran said. "Lake is smart and competent, but he's not known as a big conceptual thinker."

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For the past 12 years, Lake has taught international relations courses at Mount Holyoke College and managed a cattle farm in western Massachusetts. He was a senior adviser in Clinton's election campaign and transition operation.

From 1962-70, Lake was a foreign service officer on the fast track. He held posts in Vietnam for three years and, in 1969, was named a special assistant on Kissinger's NSC staff. A year later, in protest of the U.S. incursion into Cambodia, Lake resigned from the foreign service.

Samuel R. (Sandy) Berger
Deputy assistant to the President for national security affairs
First Floor, West Wing (202) 456-2257

Berger was Lake's deputy at State from 1977-80 and was at his side during Clinton's campaign and transition. He's on leave from the Washington law firm of Hogan & Hartson, where he's a partner specializing in international trade.

He is remembered at State primarily for his skills as a speechwriter for Secretaries Vance and Edmund S. Muskie. After graduating from Harvard Law School in 1971, Berger, 47, worked as a legislative assistant to former Sen. Harold E. Hughes, D-Iowa, and, in 1972, as a special assistant to New York City Mayor John Lindsay.

Nancy E. Soderberg
Staff director
Ground Floor, West Wing (202) 456-2224

A foreign policy adviser in the past three Democratic presidential campaigns, Soderberg, 35, helped screen candidates for national security posts as a Clinton transition adviser. From 1985-88 and from 1989-92 she worked as national security adviser to Sen. Edward M. Kennedy, D-Mass., a member of the Armed Services Committee.

Robert G. Bell
Senior director for defense policy and arms control
Room 386 (202) 395-3330

A former Air Force captain, Bell, 45, was the chief arms control adviser to Senate Armed Services Committee chairman Sam Nunn, D-Ga. His Capitol Hill experience also includes positions on the staff of the Senate Foreign Relations Committee and at the Congressional Research Service.

Richard E. Feinberg
Senior director for inter-American affairs
Room 361 (202) 395-6942

Feinberg, 47, is a veteran of the Lake- Berger policy planning staff under Carter and most recently was president of Inter-American Dialogue, an independent research forum in Washington. An economist, he has specialized in Third World development and finance. He has also worked at the Treasury Department and on the staff of the House Banking, Finance and Urban Affairs Committee.

Martin Indyk
Senior director for Near East and South Asian affairs

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Room 351 (202) 395-6900

Indyk, 41, is the former executive director of the Washington Institute for Near East Policy, a think tank established in 1985 with the help of the American Israel Public Affairs Committee. Born in Great Britain and educated in Australia, Indyk is regarded as an expert on the Middle East peace process.

Daniel B. Poneman
Senior director for nonproliferation and export control
Room 380 (202) 395-5697

A lawyer and former White House fellow in the office of the Energy undersecretary, Poneman, 37, was detailed to the Bush NSC staff and asked by Clinton to stay on.

Jeremy D. Rosner
Senior director for legislative affairs
Room 375 (202) 395-3055

As vice president for domestic policy of the Progressive Policy Institute (PPI), Rosner had more than a passing interest in Clinton's campaign. The PPI is the research arm of the Democratic Leadership Council, which Clinton had chaired and relied upon as a source of centrist ideas. Rosner, 35, was a speechwriter in Walter F. Mondale's 1984 presidential campaign and worked as an aide to Sen. Robert Kerrey, D-Neb., and former Sen. Gary Hart, D-Colo.

George J. Tenet
Senior director for intelligence
Room 300 (202) 395-3334

A former aide to the late Sen. John Heinz, R-Pa., Tenet, 40, joined the staff of the Senate Select Intelligence Committee in 1985 as an aide to Patrick J. Leahy, D-Vt. He was named staff director in 1988 by then-chairman David L. Boren, D-Okla.

Jenonne R. Walker
Senior director for European affairs
Room 368 (202) 395-5112

As a career civil servant at the CIA and at the State Department, Walker, 58, worked in the policy planning office under Lake and Berger during the Carter Administration and in the Bureau of Politico-Military Affairs under President Reagan. From 1990-92, she was a scholar at the Carnegie Endowment for International Peace. She served on Clinton's transition team.

Kent W. Wiedemann
Senior director for Asian affairs
Room 493 (202) 395-6173

Wiedemann, a career foreign service officer, served in Beijing during the Bush Administration with Ambassador Winston Lord, now the assistant secretary of State for East Asian and Pacific affairs. Most recently, Wiedemann, 47, was deputy chief of mission in the embassy in Israel.

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GRAPHIC: Picture 1, Anthony Lake; Picture 2, Samuel R. (Sandy) Berger; Picture 3, Nancy E. Soderberg, Pictures 1 through 3, Shepard Sherbell/SABA.

LANGUAGE: ENGLISH
LOAD-DATE: July 02, 1993

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LEVEL 1 - 55 OF 70 STORIES

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November 16, 1992, Monday, Final Edition

SECTION: FIRST SECTION; PAGE A19; THE FEDERAL PAGE

LENGTH: 283 words

HEADLINE: BEHIND THE SCENES ON FOREIGN POLICY

SERIES: Occasional

BYLINE: John M. Goshko

BODY:

Samuel Berger, named by President-elect Clinton to oversee the transition in foreign policy and national security, took a leave from his partnership in the Washington law firm of Hogan and Hartson at the beginning of the year to become a key player in Clinton's presidential campaign.

Berger, 47, known as "Sandy," collaborated with Anthony Lake on shaping Clinton's campaign positions on foreign and defense issues by recruiting experts to brief the candidate and prepare policy papers on everything from nuclear disarmament to world trade. At the presidential debates, Berger stood in the background, guarding a suitcase-sized briefcase filled with indexed position papers on every conceivable foreign policy question that might have been directed at Clinton.

His work with Lake, a political science professor at Mount Holyoke College in Massachusetts, renewed a partnership dating back to the Carter administration. During that time, Lake was director of the State Department's policy planning staff and a key aide to then-Secretary of State Cyrus R. Vance, and Berger served as his principal deputy.

Berger's principal job in the transition will be ensure that the incoming administration is fully briefed on the status of key issues being worked on by the executive departments responsible for national security and foreign policy: the State Department, the Pentagon, the National Security Council and the Central Intelligence Agency. At the State Department, acting Secretary of State Lawrence S. Eagleburger has designated Arnold Kantor, undersecretary for political affairs, and John F.W. Rogers, undersecretary for management, to take charge of working with Berger's team.

GRAPHIC: PHOTO, SAMUEL "SANDY" BERGER.

LANGUAGE: ENGLISH

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September 29, 1992, Tuesday, Final Edition

SECTION: FIRST SECTION; PAGE A7

LENGTH: 666 words

HEADLINE: Who's Who in Clinton's Foreign Policy Contingent

SERIES: Occasional

BYLINE: Don Oberdorfer

BODY:

A Bill Clinton administration would bring to office new faces -- and many familiar faces -- in the operation of U.S. foreign policy, according to officials close to the Clinton campaign.

Despite much speculation, there is no solid information about the probable identity of such top officials as secretary of state, secretary of defense and national security adviser in a Clinton government. A half-dozen people who have worked closely with Clinton on foreign policy said they had never heard Clinton discuss his possible personnel selections, and several said they doubt he has done any serious thinking on the subject.

The foreign policy formulation side of the campaign has been managed by: Anthony Lake, who was State Department director of policy planning and a close aide to Secretary of State Cyrus R. Vance in the Carter administration, and Samuel R. Berger, who was Lake's deputy. Lake is a professor at Mount Holyoke College, and Berger, a Washington lawyer who is on leave from his firm.

Working closely with them since the Democratic National Convention has been Leon Fuerth, foreign policy assistant to vice presidential nominee Sen. Albert Gore Jr. Lake, Berger and Fuerth confer by conference call each morning with campaign officials in Little Rock.

Three campaign-paid foreign policy officials are at Little Rock headquarters coordinating information for Clinton and Gore. They are: Nancy Soderberg, who was foreign policy aide to Sen. Edward M. Kennedy (D-Mass.); Michael E. Chapman, who was foreign policy aide to Rep. Dave McCurdy (D-Okla.), chairman of the House intelligence committee; and Daniel G. Sakura, who was on the staff of the Senate Armed Services Committee.

According to Berger, the campaign decided early not to organize formal advisory groups or task forces so as not to exclude people or ideas. Instead, campaign officials have sought to tap informally the advice of a large number of experts. More than 100 people have been engaged in supplying foreign policy ideas, advice or briefings, according to Lake.

Some of the most active contributors, according to campaign aides, have been:

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Madeleine Albright, foreign policy assistant to Vice President Walter F. Mondale and now a professor at Georgetown University; John Holum, a Washington lawyer who met Clinton in the 1972 McGovern presidential campaign and subsequently served on the State Department policy planning staff under Lake; Michael Mandelbaum, a Russian studies expert at the Council on Foreign Relations and the Johns Hopkins School of Advanced International Studies who met Clinton during studies in England in the late 1960s; Will Marshall, who worked closely with Clinton on the Democratic Leadership Council and is director of the council's Progressive Policy Institute; and Richard Schifter, assistant secretary of state for human rights and humanitarian affairs in the Reagan and Bush administrations.

Also listed by campaign aides as very active are David Aaron, deputy national security adviser in the Carter administration; Richard Gardner, formerly U.S. ambassador to Italy and now a New York investment banker; Richard C. Holbrooke, assistant secretary of state for East Asian and Pacific affairs in the Carter administration and now a New York investment banker; Robert E. Hunter, a National Security Council staff member in the Carter administration and now at the Center for Strategic and International Studies; and Penn Kemble, a senior associate at Freedom House, a human rights organization.

Clinton also has turned to senior Democrats in Congress for policy advice. Among the most often consulted, according to campaign aides, have been McCurdy, Senate Armed Services Committee Chairman Sam Nunn (Ga.), House Armed Services Committee Chairman Les Aspin (Wis.), Rep. Lee H. Hamilton (Ind.), ranking Democratic member of the Foreign Affairs Committee, and Rep. Stephen J. Solarz (N.Y.), chairman of the Foreign Affairs subcommittee on Asian and Pacific affairs.

LANGUAGE: ENGLISH

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DECEMBER 22, 1992, TUESDAY

SECTION: IN THE NEWS

LENGTH: 7181 words

HEADLINE: NEWS CONFERENCE
LITTLE ROCK, ARKANSAS

BODY:
PRESIDENT-ELECT CLINTON: Good afternoon. Forgive my voice. I'm trying to meet the Christmas deadline. I just can't sleep very much. I lost my voice.
It is a great honor and privilege to announce today the selection of our national security team. In a time of great change and challenge, I wanted to put together a team which could bring to our administration a set of diverse backgrounds and varied expertise but which would be composed of people who would really work as a team.
The end of the Cold War is a wonderful development bringing freedom to millions of people and hope to many more, but the progress has been mixed with new challenges, new dangers and new opportunities. We now see ethnic conflicts, national tensions, and the inhumane slaughter of neighbors by neighbors who until recently lived peacefully side by side. We must act to curb the spread of weapons of mass destruction, to counter terrorism and to prevent the degradation of our global environment.
The world is no longer a simple place with clear choices. As we enter the 21st century, American foreign policy will require steady hands, bold new thinking, and the strength and courage to advance our American values. In building this new peace and prosperity, America will be well served by this creative and illustrious group of Americans.
As Senator Gore and I work to meet these challenges, the sound advice, wise counsel and broad experience of the group here with me today will prove invaluable. As I promised during the campaign, mine will be a foreign policy of engagement, one that strengthens democracy, promotes economic reform, opens markets, and stands up to aggression and intolerance.
That is why I'm delighted to announce today the nomination of a truly distinguished American as my Secretary of State, a person of unparalleled judgment, Warren Christopher. He has a long and distinguished career in diplomacy and in the law. He has served three previous Democratic presidents -- as a trade negotiator, a deputy attorney general, and, of course, as deputy secretary of state during the last Democratic administration. Americans learned of his courage and skill when his negotiations brought home 52 hostages unharmed from Iran. He also spearheaded the normalization of relations with China and helped to win passage of the Panama Canal Treaty, and headed the first interagency group on human rights. Earlier this year, he was a voice of conscience in Los Angeles, where he chaired the commission that recommended reforms of the police department following the Rodney King incident and then won their implementation in an overwhelming vote in a public referendum in Los Angeles.
As my transition director, he has helped me to pull together not only an

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excellent transition team but a distinguished and diverse cabinet. And, of course, he was by my side for what was perhaps the best decision I have made during this campaign, the selection of Senator Gore as my running mate. I have come to rely heavily on his judgment in a wide variety of areas, and I have come to know him as a friend I want nearby. With Warren Christopher as Secretary of State, our country will be served by a person of keen intellect, clear vision, and deep values.

As Deputy Secretary of State, I am nominating today Clifton Wharton, an individual with remarkably impressive and diverse experience. Cliff is an economist with expertise in international development who has traveled and worked widely abroad. Thousands of faculty and students know of his skills from his service as president of Michigan State University and then as chancellor of the State University of New York System, the country's largest university system.

Today he is the chief executive officer of the nation's largest private pension fund, called TIAA-CREF. It is the pension fund for most of the employees and institutions of higher education in the United States today. And in this last position, his management skill has become truly legendary. He's been Chairman of the Rockefeller Foundation, has served as an adviser to the State Department under Presidents Reagan and Carter, and was the first chairman of the board of the International Food and Agricultural Development Program at the State Department.

Together, Warren Christopher and Cliff Wharton will be a great team to serve America's interest at the State Department.

I'm also delighted to announce today the nomination of my Ambassador to the United Nations, Dr. Madeleine Corbell (sp) Albright.

In my administration, this post will be one of the most critical foreign policy positions. To underscore that point, I plan to return to the tradition first started under President Eisenhower of making this a cabinet position. Never before in its history has the United Nations faced greater challenges or opportunities. With the end of the Cold War, the body is posed to play a central and positive role for peace.

My representative at the United Nations must understand how to seize these challenges and how to direct America's leadership to promote and advance our goals. She must also be a part of our cabinet so that all the other departments which have to be involved in the work of supporting the policies we adopt and embrace and the United Nations can do just that.

I don't believe any American is better qualified to meet that task than Madeleine. At my Alma Mater, the Georgetown University School of Foreign Service, she has distinguished herself as a professor on international affairs. She served on the staff of the United States Senate and the National Security Council. As president of the Center for National Policy and an adviser to me and several past Democratic nominees for president, she understands both foreign policy and politics, an attribute that will serve her well and serve this nation well in her new post.

Finally, as a Czech-born citizen, she is, I believe, our first foreign-born United Nations ambassador. An expert on Eastern Europe and the former Soviet Union, she brings a special understanding at a critical time for the nations of the former communist bloc. I look forward to working with her to advance the goal of democracy and economic progress in those nations.

One of the most challenging tasks of this administration will be to restructure the military for the 21st century. As the Soviet threat has receded, new threats have emerged that are less predictable, but every bit as dangerous. In a secretary of Defense, I sought someone with an expert grasp of military

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issues, a vision for America's future security needs, and an unwavering commitment to ensure that our interests are always protected.
Today I am naming Les Aspin, the chair of the House Armed Services Committee to be secretary of Defense. He has played a central role in our defense policy for over two decades. After receiving his PhD in economics at MIT, he served in the Pentagon under Secretary McNamara. He was elected to Congress in 1970, and in 1985 became the chair of the Armed Services Committee.
He's mastered the details of defense policy and has a broad vision of our military needs. He understands how to structure our forces so that we can project power when and where our national interests are threatened. He is sensitive to the ramifications of the collapse of the Soviet Union, the increasing threat of nuclear proliferation, and the difficulties now faced by Russia and the other republics of the former Soviet Union.
He knows we need to strengthen the two attributes that have made an American military the best in the world, our outstanding personnel and the overwhelming superiority of our technology. And he will advise me honestly in the most difficult decision any president could ever face, whether and when to put our men and women in uniform in harms way. I look forward to working with him in years to come. I have come to respect his judgment enormously over the last year and a half.
The Central Intelligence Agency is, of course, at the core of the conduct and implementation of our foreign policy. An agency born at the dawn of the Cold War, it must now adjust to new challenges. If the CIA is now to capably serve the president and those who work with him, the information it provides must be accurate, complete, free from political bias and honest about what does not provide.
I am appointing as CIA director a man who has worked with and who has won the respect of both Democrats and Republicans, presidents and members of Congress alike, James Woolsey.
Jim served in the National Security Council for President Nixon, was staff counsel for the Senate Armed Services Committee, served as undersecretary of the Navy under President Carter, and President Bush asked him to take on the task of negotiating the Treaty on Conventional Armed Forces in Europe. This landmark pact is designed to reduce conventional forces in Europe to the lowest level in half a century. He will bring an analytical rigor, an ability and an honesty that will serve the CIA well in his new role.
I'd like to talk about one person who is not here today because he was not able to come.
As we restructure and streamline our intelligence apparatus we need the advice and the counsel of strong and wise citizens. I have asked one of my closest advisers, Admiral William Crowe, to serve as the Chairman of the President's Foreign Intelligence Advisory Board. Under his leadership this group of citizens will once again provide plain common sense and wisdom to help guide our intelligence efforts. He will advise not only the CIA and other intelligence agencies but me as well.
I am privileged to have him in this administration. He's a rare combination of statesman and military leader who has served our nation for almost half a century in uniform. He is the first senior officer, as many of you know, to open up important military-to-military ties between the United States and the former Soviet Union. He supported the critical reform of the military, the Goldwater-Nichols Act, strongly supported arms control, and has aptly been described by his friends as a combination of Will Rogers and George Marshall.
Let me turn now to the final part of our team, the National Security Council. It exists simply to give the President the best advice available on foreign and

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military policy. That requires a National Security Council Adviser who is not a rival but a partner with the foreign policy, defense and intelligence agencies. In Anthony Lake I am choosing a creative thinker with the courage to stand by his convictions in a moment of crisis. He was the voice of reason and rationality amid the flurry of our presidential campaign, an individual who's advice I came to rely on and respect. He has a long and distinguished career in both academia and the world of foreign policy. He entered public service as a career foreign service officer, serving both in Vietnam and as a special assistant to Henry Kissinger, two hardship posts. (Laughter)
In the last Democratic administration he served as Director of Policy Planning at the State Department. Since leaving the government a decade ago he has taught at Mount Holyoke College as a (Five ?) College professor of international relations. I might say also he claims to be a real farmer and I am honored that he is joining my team.
Finally, let me say how delighted I am to announce today as Deputy National Security Adviser my friend of many years, Samuel Berger. I have known Sandy for over two decades, have come to admire him and trust him as a friend, a brilliant lawyer, astute politician and a superb foreign policy adviser. He served as the senior foreign policy adviser in my campaign and since the election has served ably as my assistant transition director for national security. He has had a long and distinguished career in law and government, serving several secretaries of State as deputy director of policy planning staff at the State Department. I am honored to have him also as a part of the team. Finally, let me say that the people who worked in national security for us in the campaign included two others whom I will ask to come to the White House. They are not part of the press conference today but I would be remiss if I did not acknowledge the contributions past, present and future of Leon Furth (sp), who was Senator Gore's foreign policy adviser and we've asked to join the national security team, and Nancy Soderberg (sp), who has done so much work for us in the transition here in Little Rock.
I'd like to now turn the podium over to Mr. Christopher. (Applause)
MR. WARREN CHRISTOPHER (SECRETARY OF STATE DESIGNATE): Thank you.
Today I want to thank Governor Clinton for making a dream come true. In my law school days I was inspired to public service by the examples of General George Marshall and Dean Acheson, but it was far beyond imagining that I would some day be asked to serve in the office that they held.
Marshall and Acheson were present at the creation of the Cold War. Then we were being challenged by a formidable adversary and an alien ideology. America measured its success by how well it contained Soviet expansion and halted the spread of Communism.
Today we face a new and vastly more complicated era. As Governor Clinton has said, we are the inheritors of a new world. That world is still a dangerous place. While the risk of nuclear war has diminished, the new era has produced a new set of dangers.
Ethnic and religious conflicts threaten to ignite widespread hostilities in Central and Eastern Europe. Weapons of mass destruction may reach the hands of untested and unstable powers and new threats spring from old rivalries in the Middle East, in Europe and in Asia.
At the same time we face a world where borders matter less and less, a world that demands we join with other nations to face challenges that range from overpopulation, to AIDS, to the very destruction of our planet's life support system.
In this new era the Clinton-Gore administration will be confronted again and again by whether and how to use US power and US resources. We need bold new

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thinking to guide us in this new era. In contrast to the well understood goals of the Cold War era, it will be difficult to measure our success as we deal with these new challenges. No doubt the surest test will be the well-being of the American people and the unfailing concern that they have always had for others. In confronting these new challenges, we must remain cognizant that a great power requires not only military might but a powerful economy at home, an economy prepared for global competition. In today's world that means that foreign policy and domestic policy must be addressed simultaneously, not sequentially, or else neither will be successful for very long.

Every four years the voters have an opportunity to reset our course in foreign policy. This year they embraced Governor Clinton's concept that the strength of the economy is the foundation of our foreign policy, that our force structure needs to be revamped and that democracy must be promoted on a worldwide basis. But our administration will pursue these goals with an appreciation of history both recent and ancient.

American foreign policy is a continuum. It is at its best when it reflects a bipartisan consensus as with the Marshall Plan or the quest for arms control. Politics may not always stop at the water's edge but its intensity should yield to the national interest. Nothing could be more wasteful than for a new administration like our's to abandon constructive initiatives already underway like the Middle East peace talks or the relief efforts in Somalia.

(Coughs)

Pardon me, my voice isn't much better than the Governor's. I've been keeping about the same hours he has. (Laughter)

Last February at a time of uncertainty in the campaign, I introduced Governor Clinton by saying he had the kind of character that is essential for a President. That judgment guided them perhaps more by intuition than knowledge, has been confirmed 100-fold as he has asked me to help him in the process of selecting first the Vice President and now his cabinet. I am honored to serve with the national security team he has chosen and I am particularly pleased that Cliff Wharton, a great American, and I will be working together at State. I hope we can help President-elect Clinton achieve the success that his talents and ideals warrant.

If I may close on a personal note, I am grateful to many but most of all to my wife Marie, for her willingness one day after our 36th anniversary, to leave our beloved California and join me in yet another adventure.

In 1982, or in 1981 when all 52 hostages came out of Iran alive and reasonably well, I was so thankful that I resolved that I would not again impose by asking for divine assistance in my national endeavors. Evidently God had other plans, so I humbly ask for the strength and vision to carry out the new task that Governor Clinton has so generously given me. Thank you.

(Applause)

MR. CLIFTON WHARTON (DEPUTY SECRETARY OF STATE DESIGNATE): I'd like to begin by thanking President-elect Clinton and Secretary-designate Warren Christopher for having asked me to serve.

I, too, would like to begin with a personal bit of reminiscence. Mr. Christopher mentioned the Marshall Plan. Some 45 years ago when I graduated from Harvard, the commencement speaker was George Marshall, and he announced the Marshall Plan. That particular event was seminal for me because it led me not to go into the Foreign Service like my father, who spent 40 years as a career Foreign Service officer and completed his tour as the first black career ambassador. I decided to move into the field of technical assistance in foreign economic development, which at that time I believed would eventually become a central part of US foreign policy.

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As the young people say, what goes around comes around, and here I am at a stage where the ability of the United States to forge a new foreign policy in a post-Cold-War era is going to involve a significant number of new dimensions, not the least of which are likely to be those areas in which I hope I will be able to bring some experience and expertise and competence.

I believe that we in the United States must forge a foreign policy which is responsive to world needs for peace, for progress, as well as guaranteeing the strength of the United States. I also believe that President-elect Clinton has been given an unprecedented opportunity to forge this new foreign policy. As a child of a career Foreign Service officer, I understand what this opportunity means for our country and for the world, and I sincerely hope that my experience will be of value. We have a formidable challenge ahead of us.

In closing, I must have a public dispelling of what might be a possible rumor before it starts. As far as I know, there is absolutely no connection between my appointment and the fact that the last presidential debate was held on the campus of Michigan State University -- (laughter) -- and -- and in the Clifton and Delores (sp) Wharton Center for the Arts. And my wife Delores (sp) is here with me, and I, too, would like to thank her for having been a supportive spouse, a professional in her own right for many years, but always willing to make a sacrifice not only to me but, as I would like to do, to my country. Thank you. (Applause.)

MS. MADELEINE ALBRIGHT (AMBASSADOR TO UNITED NATIONS DESIGNATE): President-elect Clinton, Vice President-elect Gore, thank you so very much for giving me the opportunity to serve as United States Ambassador to the United Nations. During the campaign, Governor Clinton made quite clear that he understood the significance of winning the presidency in 1992. It would be his duty to fashion the role the United States would take in the international community well into the 21st century. As a tough-minded internationalist, he has spoken of the need to work with other countries in international organizations in a search for peace and security with the United States not as a policeman but the first among equals in a partnership setting the course and sharing the burden.

When we spoke about this position, he said he wanted to see the United Nations not only as a peacekeeper but as a peacemaker, not only in helping to resolve disputes but also in preventing them. It would be an honor for any American to represent the United States at the United Nations when there is a president who says he will support a policy that will make a difference.

I have to say it is a special personal honor for this American to be asked to serve. I was born in Czechoslovakia and came to this country with my mother, sister and brother in 1948 after the communist coup. My father, Joseph Corbell (sp), a Czechoslovak diplomat, was asked to represent his country as chairman of a special United Nations commission. When he completed his work, he asked the United States government for political asylum. And as a result of the generous spirit of the American people, our family had the privilege of growing up as free Americans. You can therefore understand how proud I will be to sit at the United Nations behind the nameplate that says "United States of America".

My daughters Ann, Alice, and Katie have been with me through bad times and good times. Today is the best. I wanted to thank them for coming here today and to get -- together with their husbands Jeff and Greg for being here on this important day.

Governor Clinton, thank you very much for letting me be a part of this fantastic national security team and hopefully to make a difference.

Thank you. (Applause.)

REP. ASPIN: Governor Clinton, Vice President -- President-elect Clinton, Vice President-elect Al Gore, it is a very, very deep honor for me to be here today.

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The President-elect has provided us with a new and a broader vision of national security and prosperity for America in this new era, and I am very, very proud to have been selected as part of the team to realize that vision. I'd also like to say -- who are here this afternoon that it has been an honor to represent the people of Wisconsin's First Congressional District for 22 years. I hope I can count on their support in this new role as I have in the past as a member of Congress.

The President-elect has included two sets of big challenges with this nomination. The first set involves maintaining the superb quality of our forces and our high technology edge as we go about the inevitable downsizing of our forces. We know the men and women in uniform today comprise the finest military force in the world, and we know that the American technological know-how that we saw in the Gulf war will mean fewer casualties all around if and when we must use force again. As President-elect Clinton has repeatedly said -- and he's heard him say it here this afternoon one more time -- our high quality -- high quality in people, high technology in technological equipment, that force must be maintained.

The second set of challenges involves meeting the demands of the new post-Cold War, post-Soviet world. In this new world, the definition of national security has been changed and it has been broadened. It now includes not only the threat from regional powers, but it also includes the new nuclear danger of proliferation and the possibility of the reversal of reforms in the former Soviet Union with untold consequences. It even includes economics. The President-elect has set the overall task of reviving our economic security at home. The Defense Department can contribute there, too.

These are, indeed, enormous challenges. But they are commensurate with President-elect Clinton's vision. The Clinton team faces a big job with a big payoff for America, and I am proud to be part of it.

Thank you all very much. (Applause.)

MR. WOOLSEY: Thank you.

Governor Clinton, Senator Gore, my wife Sue and I and our three sons Robert, Dan, and Ben want to thank you for the confidence that you've shown in me by indicating your attention to nominate me to be Director of Central Intelligence. The problem posed by one enemy with a worldwide reach is gone with the end of the Cold War, but the problems posed by the proliferation of weapons of mass destruction, terrorism, drugs, ethnic and national hatreds, ecological damage, and tough economic competition all give American intelligence a full agenda. In a number of ways, it is a more complex and difficult agenda even than that which existed before. We have to do some things differently.

If confirmed, I'll work hard with you and the rest of your foreign policy team, with the professionals -- the excellent professionals in the intelligence community, and with the Congress to ensure that we meet these new challenges. Thank you. (Applause.)

MR. LAKE: First, thank you, Governor for your kinds words. And yes, these are farm calluses on my hands. (Laughter.) This is also what I am grateful for: for the opportunity to serve this President is such exciting times. I share the confidence in him, the great sense of hope that so many millions of Americans have expressed; for the opportunity also to work with the Vice President and the team of skilled colleagues here today; for the chance to continue to work with my deputy, friend, and guide, Sandy Berger, as we did during the campaign, and also with Nancy Soderburg and Leon Fuerth, and for a family that encouraged me to do this, and especially my wife, Toni.

And this is what I look forward to, to helping this president define American national security policy in an extraordinary new world of turbulent dangers and

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enormous opportunity. Our daily headlines suggest that not since 1968 has a new administration faced more difficult foreign problems, but I am convinced that out of these nettles, we can pluck progress and greater security.
I look forward to making sure as best I can that the president gets the wide array of alternatives, the concise information, and the broad range of advice that he requires, and that his decisions are carried out with dispatch.
And I hope to see a year from now and beyond a group of senior national security officials who are as collegial and amicable as they are today. There is an immense amount of work to do, and I cannot wait. Thank you. (Applause.)
MR. SAMUEL BERGER (NSA DEPUTY DIRECTOR-DESIGNATE): Over the past year, I have had the sometimes exhausting privilege of travelling across America with Governor Clinton and Senator Gore as they campaigned for the presidency. I have seen the faces of Americans change from cynicism to hope, from serious doubt to genuine excitement about the possibilities for the future. That is where American foreign policy begins, with the interests, the aspirations, and the values of the American people.
I firmly believe that our nation this year has elected two leaders, Bill Clinton and Al Gore, who will summon the very best that is in all of us as Americans and who will make America stronger at home and abroad. I am grateful for the opportunity to help them achieve their vision for America, to my family for their unending support, to serve as deputy to my friend, Tony Lake, and to be part of the team of people on this platform for whom I have such great respect. Thank you. (Applause.)
VICE PRESIDENT-ELECT GORE: Because there are so many appointments today, I hope that they will forgive me for not mentioning each one by name and expressing the very high regard I have for each of them. I would just like instead to say very briefly that the issues and challenges that will be faced by this national security team are issues that I have been deeply involved in and indeed have poured my heart and soul into for more than a decade. And I believe this team is solid and strong and capable of giving our president-elect and our nation the kind of quality advice and judgment that is going to be required to meet these challenges that lie just ahead of us.
Q Governor --

PRESIDENT-ELECT CLINTON: Can I say one thing? In light of my impaired condition, why don't you ask them more questions today. You could help us out. The American people would find it enlightening.
Q A question for Congressman Aspin there?
PRESIDENT-ELECT CLINTON: Sure.
Q Congressman, could we get your views specifically on lifting the ban against homosexuals in the military? And from your years of dealing with the military establishment, how do you feel this could be best implemented?
REP. ASPIN: All right. Let me say about my views on the subject, which are essentially that it has come up when I have given talks and given speeches. It comes up in the question and answer period. And what I have said is that I think two things. Number one, that the current policy of the US military that we have set up there has got some serious flaws with it in terms of equity and in terms of fairness.
Secondly, that I saw a correlation of forces that was going to force the US government to have to deal with this and the US military to deal with it. If you see what's going on in other countries on this issue, if you see what's going on in the courts, if you see what's going on on the college campuses with problems with the ROTC program because of this, the publicity that's given to rather dramatic instances of people being forced out of the service, I thought

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that this was something that would have to be dealt with by the administration that was elected in 1992. I think that even if Bill Clinton hadn't said anything about it during the campaign this administration would be dealing with it. I think even if George Bush had been reelected in 1992, he would be dealing with it.

What is different now is that we have elected a President who has talked about changing the policy, and what that will do is it will force the Pentagon and the system, meaning Congress, the Administration, all of us, to deal with the subject head on. There'll be no chance to sort of try and patch up the old program or sideslip the issue. We'll have to deal with it head on and that's a good thing.

Q You now are the Pentagon, so how would you, how do you propose to --

REP. ASPIN: This is a discussion for a different time and a different place, here. We need to get the team in place. We need to discuss it, and we need to work it out among ourselves. But, I think that the word from the top here is to deal with this thing very very carefully, but to deal with it very very deliberately. I agree with that policy, and that's what we're going to do.

Q Mr. Christopher, can we ask you, Mr. Lake has referred to all of the challenges and problems that you face. Perhaps, the greatest number of problems of any incoming administration since 1968. What do you see as your most immediate concern? Is it Bosnia? Is it Russia? Is it Somalia? And, how would you change policy?

MR. CHRISTOPHER: You know, there's a long-established tradition in Washington, at least in the Foreign Relations Committee that one doesn't answer questions like that until after he's confirmed.

Q --- and he has a sore throat, so you ---

MR. CHRISTOPHER: Well, uh, we'll have to find some way to deal with it other than my answer. I talked to Senator Pell just before coming over here, and he promised early confirmation hearings at a mutually convenient time. So, I hope to be free of this tradition before too long, but for the time being -- you know, I want very much to be confirmed in this job, and so I'm going to be careful in the interregnum.

Q Can you say how you would change things?

Q Let me ask just a couple of questions. I know your voice is not --

PRESIDENT-ELECT CLINTON: Mr. Christopher could have bailed me out -- See, I give a guy an appointment and he forgets all about you.

Q Yesterday, your voice was so robust.

PRESIDENT-ELECT CLINTON: I know.

Q Yet, today it's obviously hurting. First of all, what happened over night that resulted in this?

PRESIDENT-ELECT CLINTON: I think it's just Christmas allergies, and we worked very late for two nights in a row.

Q But, is it anything serious?

PRESIDENT-ELECT CLINTON: No, no. My doctor checked it Friday afternoon. He said it was completely healed from all the problems of the campaign. So, I'm stunned by this.

Q Let me ask you a more serious question than your voice. Several of your picks today were in the Carter Administration, and as you know, some of your advisers were concerned that this would give the impression that this is going to be a rehashed version of the Carter Administration's international policy, national security policy. What do you say to those critics who will obviously make that point?

PRESIDENT-ELECT CLINTON: Mr. Woolsey said when we were coming over here today that maybe his service in the Bush Administration would cancel out his service

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in the Carter Administration. Let me give a serious answer to that. This is a interesting group of people. Some of them served President Carter, and I think they served him very well. I think, personally, one hundred percent of the American people would agree that Warren Christopher did a superb job in negotiating for the release of our hostages in Iran. Some people did. When President Carter was in office, I think Mr. Wharton was running the State University of New York system. Congressman Aspin was a Congressman on the House Armed Services Committee working his way toward becoming the chair. But, there are those that -- that's the only Democratic Administration we've had in 25 years. So, some of these people have had the privilege of serving there.

I did not think I should appoint people who had not lived interesting, full, productive lives in which they had garnered the experience and the judgment necessary to fill these positions. But, to say that this is a team of sort of retreads, I think, which is the inference there, would be totally unfair to a sterling and diverse array of Americans who are here today.

Q Governor, the watchword of your campaign was change. And you often described yourself as an agent of change. The people assembled here today do have an impressive array of credentials. But in what sense would anyone regard them as agents of change? Wouldn't continuity be more the word of the day?

PRESIDENT-ELECT CLINTON: Well if you will go -- I think I talked in greater detail about foreign policy and national security than any candidate running this year. And I always tried to make the point that I thought we needed some continuity and some change. And I laid out very clearly my differences in foreign policy with this administration, talked about the changes that I wanted to make. But I also talked about continuity.

I don't think that you can make change in an area this important unless you also know what needs to the maintained, and unless you have people of real seasoning and judgment. So I'm satisfied that we have the credibility and the capacity to make the appropriate changes, that we would not have had had I brought a group of people that had no previous experience.

VICE PRESIDENT-ELECT GORE: Could I add some to that?

PRESIDENT-ELECT CLINTON: Yeah.

VICE PRESIDENT-ELECT GORE: If I could add something to that, briefly. Both Governor Clinton and I, during the campaign, talked about the necessity to change the policies of our party as well as the policies of the country. Having been engaged in that task for some time, I'm proud to stand here with two of long-time allies, Les Aspin and Jim Woolsey, in many efforts over an extended period of time to build a bi-partisan base of support for diplomacy through strength and for an activist US role in the world. And I think that ought to be noted as part of the response to your question.

Q Governor, during the campaign two of the differences you highlighted most frequently were China and Syria. You said that the President had a history of coddling dictators, trying to keep status quo at the expense of trying to push democracy. Can you tell us, and maybe Secretary [designate] Christopher as well, where you would act early in the administration in those two particular areas to change things?

PRESIDENT-ELECT CLINTON: Well, he shouldn't say anything for the reasons he just said. And I think that I have, first of all, made clear on both these areas what I think. I support the Middle East peace talks. I hope very much that Israel and Syria can make an agreement, that the United States and the United Nations can support fully. I think that in order to do that Israel will have to have a high level of security about Syria's long term intentions. I think it's important that we keep those in mind. And I think actions in Lebanon and actions

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by Syria, vis-a-vis Israel, in these talks will give us some guidance about where we're going on that. You know how I feel about it.
With regard to China my position has been simple and straightforward. I supported the initiatives that Mr. Christopher was so involved in [when] President Carter was in office and trying to reach out to China, bring them into the family of nations. I'm encouraged by the movement toward market economics in that country. I do not support the repression that we saw at Tiananmen Square. I do not support the use of prison labor to make products to export into our country or other countries. I do not support violations of international arms treaties or the proliferation of weapons of mass destruction for economic or other purposes. And so I will do my best to negotiate and to be firm and moving forward.
This country has a $15 billion trade deficit with China. We have shown good faith. We bought $15 billion more of their products than they have bought of ours now on an annual basis. That should give us some ground for serious discussion about what kind of world we want to live in and where we're going to go, the kind of freedom the people of Hong Kong are going to have, what kind of freedom the people of China are going to have and how we can move forward together. I'm very hopeful that progress can be made. But I have nothing to add really to the position I took in the campaign.
Gwen?
Q Governor, did you all discuss among your national security team the issues that you would not talk about prior to confirmation hearings? And, have you decided already that you will be able to meet the Christmas deadline in filling all your major cabinet appointments?
PRESIDENT-ELECT CLINTON: The short answers are no and no. That is, I have discussed various issues with these people individually and asked for their candid assessments. But, I have not -- we have not met as a group and discussed any of the issues that we discussed here.
As you might imagine in the interview process, and I interviewed them all before appointing them, I asked them some very specific questions about priorities and problems. And I was very well satisfied with all the interviews.
On the Christmas deadline, I hope we can meet it. There's a good chance we can. But, we've come a long way now with this cabinet. I'm satisfied with the decisions that have been made. There are a lot of other decisions that need to be announced that maybe can be announced after Christmas of people who will have major positions, although not heads of departments. But, I think we can make it. But, I'm not going tie myself down to it because the remaining decisions are very important to me and I want to make sure I've done the right thing.
: Last question.
Q (Cross talk, inaudible) -- almost closed the door in serving in your administration.
You told us earlier that Senator Bentsen was your idea for Secretary of Treasury for a long time. How long have you been thinking about Secretary Christopher? Did you seriously consider General Powell?
And I'd like to ask both of them to say what made them change their mind and decide to join the administration?
PRESIDENT-ELECT CLINTON: I have considered them for some time. I really did not believe I would be able to persuade Mr. Christopher to serve. And then, for a long time I wondered if I could, and what I would ask him to do. So during that period I did consider other people.
Once it became clear to me that if I did it just right I'd be able to get him to do this, I really did not believe I should pick anyone else. We're going into a very volatile world. Every day somebody else who is really smart and

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intelligent and experienced calls me about a problem somewhere in the world. They say, "Here is what I think you ought to do about Bosnia, here is what's really happening in Russia. Here's what's happening in the other republics of the former Soviet Union. Here is what I think ought to happen in Somalia." Every day.

We are living in just a -- it's almost turbo charged, the rate of change that you see here. And I have never known anybody whom I thought had better judgment across a wide range of issues than Warren Christopher or anybody that -- and I did not have anyone available whom I thought had a broader range of relevant experiences. So I feel very good about it.

Mr. Lake, I don't think I ever quite believe all of his protestations about wanting to stay on the farm. (Laughter) You know, I lived on a farm once when I was a kid, and you heard me tell the story didn't you, about an indoor bathroom. I tell you, that hard work was way overrated, that's why I got into this. (Laughter) So I always thought I could somehow get him back.

But I did -- yes, the answer is I did consider other people and I don't ever discuss that once I make a decision, but I did it because I didn't really believe for a long time that Warren Christopher would agree to serve in this administration.

MR. CHRISTOPHER: Thank you. I entered the process of trying to help Governor Clinton choose the members of his cabinet on the assumption that I would not be involved and I think those who were involved in that process will attest to the fact that I went about it in this way. But as we got down toward the end of the process he took me aside one night and asked me and -- (inaudible) -- it was so persuasive that after talking with my wife I said yes. I guess I am just another of those who find Governor Clinton to be extremely persuasive and I am greatly honored by the opportunity to have another opportunity to try to help serve in this capacity.

MR. LAKE: I did it because the price of beef is down. (Laughter)

MR. : If we'd have had the Clinton farm program in place maybe you --

MR. CHRISTOPHER: I wonder if I could ask the families of all those who are on the stage here today to join us in the back so we can congratulate each other. Thank you.

END

LANGUAGE: ENGLISH

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LEVEL 1 - 32 OF 70 STORIES

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December 23, 1992, Wednesday, 2 STAR Edition

SECTION: A; Pg. 11

LENGTH: 622 words

HEADLINE: Clinton's appointees

BYLINE: Staff

BODY:
President-elect Clinton's appointees announced Tuesday:

WARREN CHRISTOPHER, Secretary of State: Christopher, 67, established his diplomacy credentials as the No. 2 man at the State Department under President Carter. He is best known for his role in negotiating the release of 52 Americans held hostage in Iran.

He is chairman of one of Los Angeles' best-known law firms and serves as Clinton's transition director.

Last year, he headed a commission that examined the Los Angeles Police Department following the Rodney King beating.

He was deputy attorney general under President Johnson.

LES ASPIN, Secreatary of Defense: Aspin, 54, has been chairman of the House Armed Services Committee for seven years.

A former professor and a weapons expert at the Pentagon during the Vietnam War, he has served in Congress for the past 22 years as a Democrat from Wisconsin.

He built a reputation as a defense expert partly on his efforts to expose Pentagon waste.

JAMES R. WOOLSEY, Diorector, Central Intelligence Agency: James R. Woolsey -- Woolsey, 51, is a nuclear weapons expert who helped negotiate strategic arms-limitation and -reduction treaties in the 1970s and 1980s.

He was undersecretary of the Navy from 1977-79 in the Carter administration after serving as a staff member on the National Security Council and general counsel to the Senate Armed Services Committee in the early 1970s.

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MADELEINE ALBRIGHT, Ambassador to the United Nations: Madeleine Albright -- Albright, born in Czechoslovakia, is a professor of international affairs at Georgetown University and president of the Center for National Policy.

Albright's specialty is U.S. relations with Russia and Eastern Europe.

She has worked on several Democratic campaigns, including those of former Sen. Edmund Muskie, 1984 vice-presidential candidate Geraldine Ferraro and 1988 presidential nominee Michael Dukakis.

ANTHONY LAKE, National Security Advisor: Lake, 52, is a Mount Holyoke College professor of international relations. The director of policy planning in Carter's State Department, Lake was a close aide to then-secretary Cyrus Vance.

He first joined the State Department under Henry Kissinger but resigned to protest the U.S. invasion of Cambodia.

Lake currently divides his time between the farm he and his wife manage in western Massachusetts and Mount Holyoke College.

SAMUEL BERGER, Top Deputy, National Security Council: Samuel Berger -- Berger, 47, is an international trade attorney and partner at a major Washington law firm, Hogan and Hartson. In the Carter administration, he was deputy director of the State Department's Policy Planning Staff from 1977 through 1980.

Berger has also been active in Democratic Party affairs, serving as adviser and speechwriter to Democratic Presidential and Vice Presidential candidates and advising senators and members of Congress.

WILLIAM J. CROWE. Jr., Chairman, President's Foreign Intelligence Advisory Board: Crowe, 67, retired from the military in 1989 after 43 years in the Navy, the last five as chairman of the Joint Chiefs of Staff.

During the presidential campaign, he defended Clinton's ability to head the military despite the candidate's having avoided service during the Vietnam War. Admiral Crowe and his wife, Shirley, live in Alexandria, Virginia.

CLIFTON R. WHARTON Jr., Deputy Secretary of State: The son of the first black career diplomat to be named a U.S. ambassador, Wharton has run the nation's largest pension system since 1987.

Wharton, 56, is a former chancellor of the State University of New York, president of Michigan State University and chairman of the philanthropic Rockefeller Foundation.

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GRAPHIC: Mugs: 1. Warren Christopher; 2. Les Aspin; 3.James R. Woolsey; 4. Madeleine Albright; 5.Anthony Lake; 6. Samuel Berger; 7. William J.Crowe Jr.; 8. Clifton R. Wharton Jr.; Chronicle wire services

LANGUAGE: ENGLISH

TYPE: Appointments

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LEVEL 1 - 26 OF 70 STORIES

Copyright 1992 The Buffalo News
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December 23, 1992, Wednesday, City Edition

SECTION: NEWS; Pg. 1

LENGTH: 1307 words

HEADLINE: CHRISTOPHER, ASPIN CALLED STEADY HANDS CLINTON SALUTES CABINET CHOICES

BYLINE: From News Wire Services

DATELINE: LITTLE ROCK, ARK.

BODY:

President-elect Bill Clinton has turned to Capitol Hill and the Carter years in naming a national security and foreign-policy team he saluted as having the "steady hands, bold new thinking, and the strength and courage to advance our American values."

Leading the group named at a news conference Tuesday were lawyer-diplomat Warren M. Christopher, 67, and House Armed Services Committee Chairman Les Aspin, 54, Clinton's choices for secretary of state and defense secretary, respectively.

With his economic and foreign-policy teams now in place, Clinton is focusing on filling four remaining Cabinet seats, including the marquee post of attorney general.

Transition aides said Clinton planned to appoint the first woman to head the Justice Department. Knight-Ridder reported Tuesday night that Washington attorney and feminist leader Brooksley Born was expected to be named to the nation's top legal post, although at least two other women still were believed to be in the running.

Ms. Born, 52, is liberal-leaning and a close friend of Hillary Clinton, with whom she served on the American Bar Association's women's committee. Other candidates to head the Justice Department apparently include Shirley Hufstedler, a liberal activist and former education secretary under Carter, and Washington federal Appeals Court Judge Patricia Wald.

Clinton also must choose agriculture, interior and transportation secretaries. The president-elect said he still hoped to finish the Cabinet selection process by Christmas.

Clinton named veteran Democratic foreign-policy adviser and lecturer Madeleine Albright, 55, to serve as ambassador to the United Nations, a post Clinton said he would elevate to Cabinet status because of his desire for the United Nations to take a more active role in global hot spots.

Christopher, Clinton's transition chief whose last foray in global affairs

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was negotiating the 1981 release of the 52 American hostages held by Iran, said the new administration was committed to continuing President Bush's support of the Middle East peace process and the Somali relief effort.

Aspin, a Wisconsin Democrat respected for his grasp of weapons systems and the military budget, said he supported Clinton on lifting the ban on homosexuals in the military.

Aspin said his task is to maintain the "finest military force in the world" while reducing it to reflect the end of the Cold War and the need for lighter, more mobile forces to respond to regional crises as in Somalia and the Middle East. Defense Secretary Dick Cheney called Aspin an "excellent choice" and promised a smooth transition.

Ms. Albright, with her post elevated, is the third woman in the Clinton Cabinet, with at least one more all but certain to be named.

Born in Czechoslovakia, Ms. Albright served on Carter's National Security Council and heads the Center for National Policy, a Washington world-affairs think tank.

Named to head the Central Intelligence Agency was James Woolsey, 51, Jimmy Carter's undersecretary of the Navy and President Bush's negotiator for a conventional-forces treaty in Europe.

Woolsey is a nuclear weapons expert who helped negotiate strategic arms-limitation and reduction treaties in the 1970s and 1980s.

Anthony Lake, 52, a veteran foreign-affairs specialist who once worked for Henry Kissinger and also served in the Carter State Department, was named national security adviser.

Lake is a Mount Holyoke College professor of international relations. The director of policy planning in Carter's State Department, Lake was a close aide to then-Secretary of State Cyrus Vance. He first joined the State Department under Kissinger but resigned to protest the U.S. invasion of Cambodia.

"As I promised during the campaign, mine will be a foreign policy of engagement, one that strengthens democracy, promotes economic reform, opens markets and stands up to aggression and intolerance," Clinton said.

The fact that Christopher, Lake and Woolsey are Carter administration alumni prompted reporters to ask Clinton if he had appointed retreads.

That, Clinton said, was unfair. Besides, the president-elect insisted: "I don't think that you can make change in an area this important unless you know what also has to be maintained, unless you have people of real seasoning and judgment."

Rounding out the foreign-policy team were the following:

Clifton Wharton Jr., 66, as deputy secretary of state. He served as chancellor of the State University of New York from 1978 to 1987.

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His father, Clifton Wharton Sr., was a 40-year State Department employee and became the first black career diplomat to be named a U.S. ambassador.

Since 1987, Wharton has headed the Teachers Insurance and Annuity Association-College Retirement Equities Fund at a reported salary of $ 500,000 a year.

Samuel Berger, 47, a top Clinton campaign adviser, as Lake's deputy at the National Security Council.

A longtime friend of Clinton's, Berger since the election has been the transition team's senior adviser on national security.

Retired Adm. William J. Crowe Jr., 67, who rushed to Clinton's defense at a crucial moment in the presidential campaign, now will advise him on intelligence matters.

Crowe, a former chairman of the Joint Chiefs of Staff, will head the president's Foreign Intelligence Advisory Board.

During the heat of the campaign, Crowe went to Little Rock to endorse Clinton, helping blunt criticism that the candidate had ducked military service during the Vietnam War.

As a team, Clinton's foreign policy-national security choices will inherit such pressing global problems as the military deployment to protect relief efforts in Somalia, the civil strife in the former Yugoslavia and the tug of war between reformers and hard-liners in Russia and elsewhere in the former Soviet Union.

Clinton's team also will be charged with implementing the president-elect's campaign promises, from cutting back the military and lifting the Pentagon's ban on homosexuals to putting democracy and human rights atop the new administration's foreign policy checklist.

GRAPHIC: Knight-Ridder Tribune News, Knight-Ridder Tribune News; Knight-Ridder Tribune News; Knight-Ridder Tribune News; Knight-Ridder Tribune News; Associated Press; Bill Clinton talks with Warren M. Christopher in Little Rock Tuesday.

LANGUAGE: ENGLISH

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LEVEL 1 - 23 OF 70 STORIES

The Associated Press

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December 23, 1992, Wednesday, PM cycle

SECTION: Domestic News

LENGTH: 4643 words

DATELINE: LITTLE ROCK, Ark.

BODY:
The text of statements Tuesday by President-elect Clinton and his latest Cabinet appointees:

Clinton: "Good afternoon. Forgive my voice. I'm trying to meet the Christmas deadline. I just can't sleep very much. I lost my voice.

"It is a great honor and privilege to announce today the selection of our national security team. In a time of great change and challenge, I wanted to put together a team which could bring to our administration a set of diverse backgrounds and varied expertise but which would be composed of people who would really work as a team.

"The end of the Cold War is a wonderful development bringing freedom to millions of people and hope to many more, but the progress has been mixed with new challenges, new dangers and new opportunities. We now see ethnic conflicts, national tensions, and the inhumane slaughter of neighbors by neighbors who until recently lived peacefully side by side.

"We must act to curb the spread of weapons of mass destruction, to counter terrorism and to prevent the degradation of our global environment.

"The world is no longer a simple place with clear choices. As we enter the 21st century, American foreign policy will require steady hands, bold new thinking, and the strength and courage to advance our American values.

"In building this new peace and prosperity, America will be well-served by this creative and illustrious group of Americans.

"As Senator Gore and I work to meet these challenges, the sound advice, wise counsel and broad experience of the group here with me today will prove invaluable.

"As I promised during the campaign, mine will be a foreign policy of engagement, one that strengthens democracy, promotes economic reform, opens markets, and stands up to aggression and intolerance.

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"That is why I'm delighted to announce today the nomination of a truly distinguished American as my secretary of state, a person of unparalleled judgment, Warren Christopher.

"He has a long and distinguished career in diplomacy and in the law. He has served three previous Democratic presidents - as a trade negotiator, a deputy attorney general and, of course, as deputy secretary of state during the last Democratic administration.

"Americans learned of his courage and skill when his negotiations brought home 52 hostages unharmed from Iran. He also spearheaded the normalization of relations with China and helped to win passage of the Panama Canal Treaty, and headed the first interagency group on human rights.

"Earlier this year, he was a voice of conscience in Los Angeles, where he chaired the commission that recommended reforms of the police department following the Rodney King incident and then won their implementation in an overwhelming vote in a public referendum in Los Angeles.

"As my transition director, he has helped me to pull together not only an excellent transition team but a distinguished and diverse Cabinet. And, of course, he was by my side for what was perhaps the best decision I have made during this campaign, the selection of Senator Gore as my running mate.

"I have come to rely heavily on his judgment in a wide variety of areas, and I have come to know him as a friend I want nearby. With Warren Christopher as secretary of State, our country will be served by a person of keen intellect, clear vision and deep values.

"As deputy secretary of state, I am nominating today Clifton Wharton, an individual with remarkably impressive and diverse experience. Cliff is an economist with expertise in international development who has traveled and worked widely abroad.

"Thousands of faculty and students know of his skills from his service as president of Michigan State University and then as chancellor of the State University of New York System, the country's largest university system.

"Today he is the chief executive officer of the nation's largest private pension fund, called TIAA-CREF. It is the pension fund for most of the employees and institutions of higher education in the United States today. And in this last position, his management skill has become truly legendary.

"He's been chairman of the Rockefeller Foundation, has served as an adviser to the State Department under Presidents Reagan and Carter, and was the first chairman of the board of the International Food and Agricultural Development Program at the State Department.

"Together, Warren Christopher and Cliff Wharton will be a great team to serve America's interest at the State Department.

"I'm also delighted to announce today the nomination of my ambassador to the United Nations, Dr. Madeleine Albright."

Clinton: "In my administration, this post will be one of the most critical

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foreign policy positions. To underscore that point, I plan to return to the tradition first started under President Eisenhower of making this a Cabinet position.

"Never before in its history has the United Nations faced greater challenges or opportunities. With the end of the Cold War, the body is posed to play a central and positive role for peace.

"My representative at the United Nations must understand how to seize these challenges and how to direct America's leadership to promote and advance our goals. She must also be a part of our Cabinet so that all the other departments which have to be involved in the work of supporting the policies we adopt and embrace, and the United Nations, can do just that.

"I don't believe any American is better qualified to meet that task than Madeleine. At my alma mater, the Georgetown University School of Foreign Service, she has distinguished herself as a professor on international affairs.

"She served on the staff of the United States Senate and the National Security Council. As president of the Center for National Policy and an adviser to me and several past Democratic nominees for president, she understands both foreign policy and politics, an attribute that will serve her well and serve this nation well in her new post.

"Finally, as a Czech-born citizen, she is, I believe, our first foreign-born United Nations ambassador. An expert on Eastern Europe and the former Soviet Union, she brings a special understanding at a critical time for the nations of the former communist bloc.

"I look forward to working with her to advance the goal of democracy and economic progress in those nations.

"One of the most challenging tasks of this administration will be to restructure the military for the 21st century. As the Soviet threat has receded, new threats have emerged that are less predictable, but every bit as dangerous.

"In a secretary of defense, I sought someone with an expert grasp of military issues, a vision for America's future security needs, and an unwavering commitment to ensure that our interests are always protected.

"Today I am naming Les Aspin, the chair of the House Armed Services Committee, to be secretary of defense. He has played a central role in our defense policy for over two decades. After receiving his Ph.D. in economics at MIT, he served in the Pentagon under Secretary McNamara. He was elected to Congress in 1970, and in 1985 became the chair of the Armed Services Committee.

"He's mastered the details of defense policy and has a broad vision of our military needs. He understands how to structure our forces so that we can project power when and where our national interests are threatened. He is sensitive to the ramifications of the collapse of the Soviet Union, the increasing threat of nuclear proliferation, and the difficulties now faced by Russia and the other republics of the former Soviet Union.

"He knows we need to strengthen the two attributes that have made an American military the best in the world, our outstanding personnel and the overwhelming

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superiority of our technology. And he will advise me honestly in the most difficult decision any president could ever face, whether and when to put our men and women in uniform in harm's way. I look forward to working with him in years to come. I have come to respect his judgment enormously over the last year and a half.

"The Central Intelligence Agency is, of course, at the core of the conduct and implementation of our foreign policy. An agency born at the dawn of the Cold War, it must now adjust to new challenges. If the CIA is now to capably serve the president and those who work with him, the information it provides must be accurate, complete, free from political bias and honest about what does not provide.

"I am appointing as CIA director a man who has worked with and who has won the respect of both Democrats and Republicans, presidents and members of Congress alike, James Woolsey.

"Jim served in the National Security Council for President Nixon, was staff counsel for the Senate Armed Services Committee, served as undersecretary of the Navy under President Carter and President Bush asked him to take on the task of negotiating the Treaty on Conventional Armed Forces in Europe.

"This landmark pact is designed to reduce conventional forces in Europe to the lowest level in half a century. He will bring an analytical rigor, an ability and an honesty that will serve the CIA well in his new role.

"I'd like to talk about one person who is not here today because he was not able to come."

Clinton: "As we restructure and streamline our intelligence apparatus we need the advice and the counsel of strong and wise citizens. I have asked one of my closest advisers, Admiral William Crowe, to serve as the chairman of the President's Foreign Intelligence Advisory Board.

"Under his leadership this group of citizens will once again provide plain common sense and wisdom to help guide our intelligence efforts. He will advise not only the CIA and other intelligence agencies but me as well.

"I am privileged to have him in this administration. He's a rare combination of statesman and military leader who has served our nation for almost half a century in uniform.

"He is the first senior officer, as many of you know, to open up important military-to-military ties between the United States and the former Soviet Union. He supported the critical reform of the military, the Goldwater-Nichols Act, strongly supported arms control and has aptly been described by his friends as a combination of Will Rogers and George Marshall.

"Let me turn now to the final part of our team, the National Security Council. It exists simply to give the president the best advice available on foreign and military policy. That requires a National Security Council Adviser who is not a rival but a partner with the foreign policy, defense and intelligence agencies.

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"In Anthony Lake I am choosing a creative thinker with the courage to stand by his convictions in a moment of crisis. He was the voice of reason and rationality amid the flurry of our presidential campaign, an individual whose advice I came to rely on and respect.

"He has a long and distinguished career in both academia and the world of foreign policy. He entered public service as a career foreign service officer, serving both in Vietnam and as a special assistant to Henry Kissinger, two hardship posts.

"In the last Democratic administration he served as director of policy planning at the State Department. Since leaving the government a decade ago he has taught at Mount Holyoke College as a ... professor of international relations. I might say also he claims to be a real farmer and I am honored that he is joining my team.

"Finally, let me say how delighted I am to announce today as deputy national security adviser my friend of many years, Samuel Berger.

"I have known Sandy for over two decades, have come to admire him and trust him as a friend, a brilliant lawyer, astute politician and a superb foreign policy adviser. He served as the senior foreign policy adviser in my campaign and since the election has served ably as my assistant transition director for national security.

"He has had a long and distinguished career in law and government, serving several secretaries of state as deputy director of policy planning staff at the State Department. I am honored to have him also as a part of the team.

"Finally, let me say that the people who worked in national security for us in the campaign included two others whom I will ask to come to the White House. They are not part of the press conference today but I would be remiss if I did not acknowledge the contributions past, present and future of Leon Furth, who was Senator Gore's foreign policy adviser and we've asked to join the national security team, and Nancy Soderberg, who has done so much work for us in the transition here in Little Rock.

"I'd like to now turn the podium over to Mr. Christopher."

Christopher: "Thank you. Today I want to thank Governor Clinton for making a dream come true. In my law school days I was inspired to public service by the examples of General George Marshall and Dean Acheson, but it was far beyond imagining that I would some day be asked to serve in the office that they held.

"Marshall and Acheson were present at the creation of the Cold War. Then we were being challenged by a formidable adversary and an alien ideology. America measured its success by how well it contained Soviet expansion and halted the spread of communism.

"Today we face a new and vastly more complicated era. As Governor Clinton has said, we are the inheritors of a new world. That world is still a dangerous place. While the risk of nuclear war has diminished, the new era has produced a new set of dangers."

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Christopher: "Ethnic and religious conflicts threaten to ignite widespread hostilities in Central and Eastern Europe. Weapons of mass destruction may reach the hands of untested and unstable powers and new threats spring from old rivalries in the Middle East, in Europe and in Asia.

"At the same time we face a world where borders matter less and less, a world that demands we join with other nations to face challenges that range from overpopulation, to AIDS, to the very destruction of our planet's life support system.

"In this new era the Clinton-Gore administration will be confronted again and again by whether and how to use U.S. power and U.S. resources. We need bold new thinking to guide us in this new era. In contrast to the well understood goals of the Cold War era, it will be difficult to measure our success as we deal with these new challenges. No doubt the surest test will be the well-being of the American people and the unfailing concern that they have always had for others.

"In confronting these new challenges, we must remain cognizant that a great power requires not only military might but a powerful economy at home, an economy prepared for global competition. In today's world that means that foreign policy and domestic policy must be addressed simultaneously, not sequentially, or else neither will be successful for very long.

"Every four years the voters have an opportunity to reset our course in foreign policy. This year they embraced Governor Clinton's concept that the strength of the economy is the foundation of our foreign policy, that our force structure needs to be revamped and that democracy must be promoted on a worldwide basis. But our administration will pursue these goals with an appreciation of history both recent and ancient.

"American foreign policy is a continuum. It is at its best when it reflects a bipartisan consensus as with the Marshall Plan or the quest for arms control. Politics may not always stop at the water's edge but its intensity should yield to the national interest. Nothing could be more wasteful than for a new administration like ours to abandon constructive initiatives already underway like the Middle East peace talks or the relief efforts in Somalia.

"Pardon me, my voice isn't much better than the governor's. I've been keeping about the same hours he has.

"Last February at a time of uncertainty in the campaign, I introduced Governor Clinton by saying he had the kind of character that is essential for a president. That judgment guided them perhaps more by intuition than knowledge, has been confirmed 100-fold as he has asked me to help him in the process of selecting first the vice president and now his Cabinet. I am honored to serve with the national security team he has chosen and I am particularly pleased that Cliff Wharton, a great American, and I will be working together at State. I hope we can help President-elect Clinton achieve the success that his talents and ideals warrant.

"If I may close on a personal note, I am grateful to many but most of all to my wife Marie, for her willingness one day after our 36th anniversary, to leave our beloved California and join me in yet another adventure.

"In 1982 or in 1981 when all 52 hostages came out of Iran alive and

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reasonably well, I was so thankful that I resolved that I would not again impose by asking for Divine assistance in my national endeavors. Evidently God had other plans, so I humbly ask for the strength and vision to carry out the new task that Governor Clinton has so generously given me. Thank you."

Wharton: "I'd like to begin by thanking President-elect Clinton and Secretary-designate Warren Christopher for having asked me to serve.

"I, too, would like to begin with a personal bit of reminiscence. Mr. Christopher mentioned the Marshall Plan. Some 45 years ago when I graduated from Harvard, the commencement speaker was George Marshall, and he announced the Marshall Plan.

"That particular event was seminal for me because it led me not to go into the foreign service like my father, who spent 40 years as a career foreign service officer and completed his tour as the first black career ambassador.

"I decided to move into the field of technical assistance in foreign economic development, which at that time I believed would eventually become a central part of U.S. foreign policy.

"As the young people say, what goes around comes around, and here I am at a stage where the ability of the United States to forge a new foreign policy in a post-Cold War era is going to involve a significant number of new dimensions, not the least of which are likely to be those areas in which I hope I will be able to bring some experience and expertise and competence.

"I believe that we in the United States must forge a foreign policy which is responsive to world needs for peace, for progress, as well as guaranteeing the strength of the United States. I also believe that President-elect Clinton has been given an unprecedented opportunity to forge this new foreign policy.

"As a child of a career foreign service officer, I understand what this opportunity means for our country and for the world, and I sincerely hope that my experience will be of value. We have a formidable challenge ahead of us.

"In closing, I must have a public dispelling of what might be a possible rumor before it starts. As far as I know, there is absolutely no connection between my appointment and the fact that the last presidential debate was held on the campus of Michigan State University - and in the Clifton and Delores Wharton Center for the Arts.

"And my wife Delores is here with me, and I, too, would like to thank her for having been a supportive spouse, a professional in her own right for many years, but always willing to make a sacrifice not only to me but, as I would like to do, to my country. Thank you."

Albright: "President-elect Clinton, Vice President-elect Gore, thank you so very much for giving me the opportunity to serve as United States Ambassador to the United Nations.

"During the campaign, Governor Clinton made quite clear that he understood the significance of winning the presidency in 1992. It would be his duty to fashion the role the United States would take in the international community well into the 21st century.

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"As a tough-minded internationalist, he has spoken of the need to work with other countries in international organizations in a search for peace and security with the United States not as a policeman but the first among equals in a partnership setting the course and sharing the burden.

"When we spoke about this position, he said he wanted to see the United Nations not only as a peacekeeper but as a peacemaker, not only in helping to resolve disputes but also in preventing them. It would be an honor for any American to represent the United States at the United Nations when there is a president who says he will support a policy that will make a difference.

"I have to say it is a special personal honor for this American to be asked to serve. I was born in Czechoslovakia and came to this country with my mother, sister and brother in 1948 after the communist coup."

"My father, Joseph Corbell, a Czechoslovak diplomat, was asked to represent his country as chairman of a special United Nations commission. When he completed his work, he asked the United States government for political asylum. And as a result of the generous spirit of the American people, our family had the privilege of growing up as free Americans.

"You can therefore understand how proud I will be to sit at the United Nations behind the nameplate that says 'United States of America.'

"My daughters Ann, Alice, and Katie have been with me through bad times and good times. Today is the best. I wanted to thank them for coming here today and to get - together with their husbands Jeff and Greg for being here on this important day.

"Governor Clinton, thank you very much for letting me be a part of this fantastic national security team and hopefully to make a difference. Thank you."

Aspin: "Governor Clinton, Vice President - President-elect Clinton, Vice President-elect Al Gore, it is a very, very deep honor for me to be here today.

"The president-elect has provided us with a new and a broader vision of national security and prosperity for America in this new era, and I am very, very proud to have been selected as part of the team to realize that vision. I'd also like to say - who are here this afternoon that it has been an honor to represent the people of Wisconsin's First Congressional District for 22 years.

"I hope I can count on their support in this new role as I have in the past as a member of Congress.

"The president-elect has included two sets of big challenges with this nomination. The first set involves maintaining the superb quality of our forces and our high technology edge as we go about the inevitable downsizing of our forces.

"We know the men and women in uniform today comprise the finest military force in the world, and we know that the American technological know-how that we saw in the gulf war will mean fewer casualties all around if and when we must use force again.

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"As President-elect Clinton has repeatedly said - and he's heard him say it here this afternoon one more time - our high quality - high quality in people, high technology in technological equipment, that force must be maintained.

"The second set of challenges involves meeting the demands of the new post-Cold War, post-Soviet world. In this new world, the definition of national security has been changed and it has been broadened. It now includes not only the threat from regional powers, but it also includes the new nuclear danger of proliferation and the possibility of the reversal of reforms in the former Soviet Union with untold consequences.

"It even includes economics. The president-elect has set the overall task of reviving our economic security at home. The Defense Department can contribute there, too.

"These are, indeed, enormous challenges. But they are commensurate with President-elect Clinton's vision. The Clinton team faces a big job with a big payoff for America, and I am proud to be part of it.

"Thank you all very much."

Woolsey: "Thank you. Governor Clinton, Senator Gore, my wife Sue and I and our three sons Robert, Dan and Ben want to thank you for the confidence that you've shown in me by indicating your intention to nominate me to be director of Central Intelligence.

"The problem posed by one enemy with a worldwide reach is gone with the end of the Cold War, but the problems posed by the proliferation of weapons of mass destruction, terrorism, drugs, ethnic and national hatreds, ecological damage, and tough economic competition all give American intelligence a full agenda.

"In a number of ways, it is a more complex and difficult agenda even than that which existed before. We have to do some things differently.

"If confirmed, I'll work hard with you and the rest of your foreign policy team, with the professionals - the excellent professionals in the intelligence community, and with the Congress to ensure that we meet these new challenges. Thank you."

Lake: "First, thank you, governor for your kinds words. And yes, these are farm calluses on my hands.

"This is also what I am grateful for: for the opportunity to serve this president in such exciting times. I share the confidence in him, the great sense of hope that so many millions of Americans have expressed; for the opportunity also to work with the vice president and the team of skilled colleagues here today; for the chance to continue to work with my deputy, friend, and guide, Sandy Berger, as we did during the campaign, and also with Nancy Soderburg and Leon Furth, and for a family that encouraged me to do this, and especially my wife, Toni."

Lake: "And this is what I look forward to, to helping this president define American national security policy in an extraordinary new world of turbulent dangers and enormous opportunity.

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"Our daily headlines suggest that not since 1968 has a new administration faced more difficult foreign problems, but I am convinced that out of these nettles, we can pluck progress and greater security.

"I look forward to making sure as best I can that the president gets the wide array of alternatives, the concise information, and the broad range of advice that he requires, and that his decisions are carried out with dispatch.

"And I hope to see a year from now and beyond a group of senior national security officials who are as collegial and amicable as they are today. There is an immense amount of work to do, and I cannot wait. Thank you."

Berger: "Over the past year, I have had the sometimes exhausting privilege of travelling across America with Governor Clinton and Senator Gore as they campaigned for the presidency.

"I have seen the faces of Americans change from cynicism to hope, from serious doubt to genuine excitement about the possibilities for the future. That is where American foreign policy begins, with the interests, the aspirations, and the values of the American people.

"I firmly believe that our nation this year has elected two leaders, Bill Clinton and Al Gore, who will summon the very best that is in all of us as Americans and who will make America stronger at home and abroad.

"I am grateful for the opportunity to help them achieve their vision for America, to my family for their unending support, to serve as deputy to my friend, Tony Lake, and to be part of the team of people on this platform for whom I have such great respect. Thank you."

Gore: "Because there are so many appointments today, I hope that they will forgive me for not mentioning each one by name and expressing the very high regard I have for each of them.

"I would just like instead to say very briefly that the issues and challenges that will be faced by this national security team are issues that I have been deeply involved in and indeed have poured my heart and soul into for more than a decade.

"And I believe this team is solid and strong and capable of giving our president-elect and our nation the kind of quality advice and judgment that is going to be required to meet these challenges that lie just ahead of us."

LANGUAGE: ENGLISH

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FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 5/6/96

[redacted] was telephonically interviewed via conference call. Present during the conversation was [redacted] Attorney, BRAND, LOWELL and RYAN, 923 15th Street, Northwest, Washington, D.C.. [redacted] was advised of the nature of the interview. He thereafter provided the following information: b6 b7C

[redacted]

[redacted] knew little information regarding SANDY BERGER as [redacted] and BERGER spent no time there. BERGER was an advisor on foreign policy who travelled on the candidate's plane. BERGER assisted the candidate in debate preparation. [redacted] had some contact with BERGER just prior to the Presidential debates. b6 b7C

BERGER worked on the national level but only as an advisor. [redacted] did not know if BERGER had any staff or if he had participated in the process of hiring or firing individuals. [redacted] speculated that BERGER may have had some influence over the hiring of [redacted] BERGER reported directly to the candidate but only in the one specific area where he had expertise. BERGER had no authority but only influence.

[redacted] believed it was difficult to put BERGER into an organizational chart of the campaign as BERGER had expertise in only one very specific area. BERGER made no major decisions for the campaign. BERGER may have attended strategy meetings that were very large and included numerous people from various aspects of the campaign. [redacted] did not know if BERGER had been paid by the campaign.

[redacted] did not know where BERGER was physically located during the course of the campaign except that he was not in Little Rock, Arkansas. [redacted] suspected that BERGER had easy access to the candidate during the debate preparations. b6 b7C

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Investigation on 5/2/96 at Falls Church, Virginia (telephonically)

File # [redacted] 203315 and 211-WF-NEW

by SA [redacted] Date dictated 5/3/96.

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[redacted] specifically recalled that BERGER participated in the preparation for the Presidential debates in Michigan.

[redacted] had minimal contact with [redacted] during the campaign. [redacted]

[redacted] b6 b7C

[redacted] was familiar with [redacted] by name only although [redacted] may have met [redacted] at some occasion. If [redacted] had anything to do with the campaign, [redacted] was unaware of his activity. [redacted] would not recognize [redacted] if he saw him. He had no further information to provide concerning [redacted]

[redacted] b6 b7C

[redacted]

211-WF-203315-10

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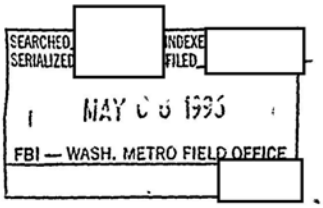

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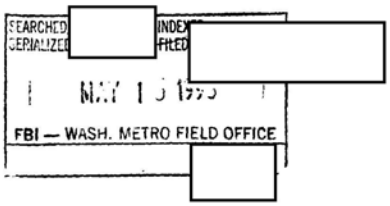

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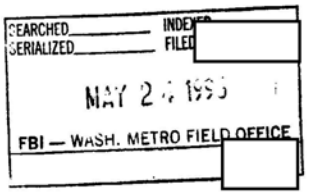

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FEDERAL BUREAU OF INVESTIGATION

Date of transcription 5/2/96

[redacted] b6 b7C was interviewed as an attorney. [redacted] was advised of the identities of the interviewing agents and the nature of the interview. He provided the following information:

[redacted]

Sandy Berger was a senior advisor in foreign policy matters. He advised on national and international policy. He knew Berger socially but did not work with him due to the lack of interaction of the two compartments of the campaign staff.

He has no knowledge of Berger's authority in staffing matters. He assumed Berger would make major policy decisions but has no direct knowledge of such. He recalls Berger traveling with Mr. Clinton on occasion which therefore afforded him access to Mr. Clinton. He has no knowledge of Berger attending high level meetings or making specific policies. He does not know if Berger was a paid staff member or a volunteer. He does not know of Berger and Clinton's relationship prior to the campaign. He assumed that Berger lived in Washington during the campaign.

[redacted] does not know the organizational chart for the policy side of the campaign. He would describe Berger as a senior policy advisor whose role could better be described by another senior policy advisor, [redacted] Ely Seigal, or [redacted]

[redacted] b6 b7C

Investigation on 4/30/96 at [redacted]

File # [redacted] 211-WF-203315 -15

by [redacted] Date dictated 5/2/96

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(06/01/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 05/02/1996

To: WMFO **Attn:** SA
C-20/NVMRA

From:
Squad 7
Contact: ext.324

Approved By:

Drafted By:

Case ID #: ~~(Pending)~~ b6
~~(Pending)~~ b7C
211-WF-203315 ~~(Pending)~~

Title:
Ethics in Government Act of 1978-THRESHOLD INQUIRY;

EIGA-THRESHOLD INQUIRY;

SAMUEL RICHARD BERGER, aka
Sandy Berger-Deputy National Security Advisor;
EIGA-THRESHOLD INQUIRY;
211-WF-203315 – 16

Synopsis: was interviewed on 4/30/1996 as requested in WMFO EC to dated 4/22/1996.

Enclosures: FD-302 of interview.

Details: was interviewed at his office on 4/30/1996. He was cooperative and answered the questions as presented in aforementioned EC. He knew Berger personally, only by name, and does not know b6 b7C

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211-WF-203315-16

SEARCHED INDEXED
SERIALIZED FILED
MAY 1996
FBI — WASH. FIELD OFFICE

WMFO 211-WF-203315

1

The following investigation was conducted by SA on April 3, 1996. who is in a position to provided the following information:

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Source researched

Those records indicated the following:

1.

2.

No additional relevant information was provided by Source.

211-WF-203315-18

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MAY 2 4 1996
FBI — WASH. METRO FIELD OFFICE

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(06/01/1995)

C-20

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 05/22/1996

To: WMFO **Attn:** C-20/NVMRA
SA [redacted]

From: [redacted]
Squad 12/[redacted] Resident Agency
Contact: SA [redacted] 512-345-1111

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: [redacted]
211-WF-203315-19

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Title: [redacted]
ETHICS IN GOVERNMENT ACT OF
1978 - THRESHOLD INQUIRY;
[redacted]

[redacted]
EIGA - THRESHOLD INQUIRY;
[redacted]

SAMUEL RICHARD BERGER, aka
Sandy Berger - DEPUTY NATIONAL
SECURITY ADVISOR;
EIGA - THRESHOLD INQUIRY;
(211-WF-203315)

COPY

Synopsis: Results of interview conducted with [redacted] in [redacted]

Administrative: Reference telephone conversation between SA [redacted] RA, and SA [redacted] WMFO, on 05/08/1996.

Enclosures: Enclosed for WMFO is the original and two copies of an FD-302 regarding interview of [redacted]

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Details: Interview of [redacted] determined that he is familiar with [redacted] and Samuel Berger, but has little knowledge as

211-WF-203315-19

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
JUN 3 1996
FBI—WASH. METRO FIELD O [redacted]

To: WMFO From: [redacted]
Re: [redacted] 05/22/1996

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to [redacted] role in the 1992 Clinton/Gore election campaign.

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FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 5/22/96

[redacted] was contacted at his place of employment, [redacted] and was advised of the identity of the interviewing Agent. [redacted] was informed that the nature of the contact was in regards to [redacted] Samuel Berger, [redacted] and their roles in the 1992 Clinton/Gore Presidential Campaign. b6 b7C

As to background information, [redacted] advised that he is [redacted]

[redacted] b6 b7C

[redacted]

In regards to [redacted] Samuel (Sandy) Berger, [redacted] advised that [redacted] Berger's roles in the 1992 campaign were as "Senior Foreign Policy Advisors" and reported to Clinton. [redacted] b6 b7C

Investigation on 5/9/96 at [redacted]

File # [redacted] 211-WF-203315

by SA [redacted] Date dictated 5/16/96

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[redacted] stated that [redacted] traveled occasionally with the campaign, but Berger more so. Early in the campaign Berger [redacted] traveled very little with Clinton, but towards the end, usually one or the other were traveling with Clinton, but again Berger more so than [redacted] was unable to give exact dates or time periods as to their travels.

According to [redacted] and Berger worked for the campaign on the national level, participating with Clinton and campaign members in high level strategy meetings as to major foreign policy matters.

[redacted] and Berger were not involved with the employment policies of the campaign workers, nor did they plan general campaign strategy. From [redacted] viewpoint, [redacted] and Berger were there to advise Clinton on foreign policy matters. Both had access to Clinton, that is, if one called or wanted to speak to Clinton, they "were put through". [redacted] has no knowledge if [redacted] or Berger were compensated for their work on the 1992 campaign.

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[redacted] is not familiar with [redacted] advised that Berger was a "long standing friend of Clinton's" and that Clinton trusted him and considered Berger's advise on matters other than just foreign policy. Therefore, he may have advised Clinton on matters outside foreign policy. Berger is not familiar with any specifics. [redacted] thinks Berger is an attorney. [redacted] does not know where [redacted] and Berger were physically located.

[redacted] stated that [redacted] may be able to provide additional knowledge as to [redacted] Berger's roles in the campaign.

[redacted]

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[redacted]

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[redacted]

[redacted] concluded by saying that [redacted] Berger's integrity are excellent and viewed them as valued members of the campaign.

211-WF-203315-20 [redacted]

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117 [redacted] 02.302

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 4/26/96

[redacted] was interviewed by the undersigned agents and provided the following information:

[redacted] Through his role as [redacted] knew [redacted] SANDY BERGER. [redacted] b6 b7C

[redacted] characterized BERGER as an advisor to CLINTON on foreign policy issues, but he does not know if BERGER had a title. BERGER's role was very prominent as he traveled with CLINTON on a daily basis on the campaign trail. Approximately ten to twelve people traveled with CLINTON on the plane and would have had direct access to CLINTON. These advisors, including BERGER, participated in planning strategy and making policy decisions. BERGER's position was full-time, seven days a week; however, [redacted] does not know if BERGER was paid for his services. BERGER had an office in Little Rock during the campaign. [redacted] knows that BERGER had a relationship with CLINTON prior to the campaign, but he is not sure of the exact nature of it. BERGER is close friends with ELI SEGAL, CLINTON's former chief of staff, and SEGAL may have introduced CLINTON and BERGER. b6 b7C

Investigation on 4/25/96 at [redacted] File # [redacted] b6 b7C

by [redacted] Date dictated 4/26/96

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

[redacted]

 b6 b7C

[redacted]

[redacted] believes that individuals recommended by [redacted] BERGER, [redacted] were probably hired by the campaign, but none of the three men had direct responsibility for hiring or firing staff members. b6 b7C

[redacted] recommended interviewing [redacted] for more information regarding the roles of [redacted] BERGER, [redacted] in the 1992 campaign.

FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 5/31/96

On May 31, 1996, documents were received from [redacted] Attorney at Law, Oldaker, Ryan, Phillips & Utrecht, 818 Connecticut Ave., NW . The documents pertain to payments to [redacted] SANDY BERGER [redacted] by either the Primary Committee or the General Committee.

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[redacted]

[redacted]

BERGER received one check from the General Committee in the amount of $1,893.31 for reimbursement of travel and related expenses.

Investigation on 5/31/96 at WASHINGTON, D.C.

File # [redacted] 211-WF-203315 211-WF-203492

b6
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by SA [redacted] Date dictated 5/31/96

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

211-WF-203315 - [redacted]

21

[redacted]

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FBI — WASH. METRO FIELD OFFICE

[redacted]

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U.S. Department of Justice

Federal Bureau of Investigation

In Reply, Please Refer to
File No.

1900 Half Street, SW
Washington D. C. 20535
November 12, 1996

Lee Radek, Chief
U.S. Dept. of Justice
Public Integrity Section
P.O. Box 27518
Central Station
Washington, D.C. 20038

Dear Mr. Radek:

In the Spring of 1996, the FBI was requested to conduct the preliminary inquiries as the status of [redacted] b6 b7C [redacted] Samuel Berger [redacted] in the 1992 Presidential Campaign. All logical investigation was completed as of May 1996. To date, we have not received written notification from your office that a prosecutive decision was made regarding the status of the named individuals. Unless advised to the contrary, we will close the preliminary inquiries.

Sincerely yours,

William C. Megary
Acting Assistant Director
in Charge
By:

[redacted]
Supervisory Special Agent

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1-Addressee
1-211-WF-203492
[redacted]
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11/14/96

#12594 Criminal pc #

211-WF-203315

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NOV 12 1996
FBI — WASH. METRO FIELD OFFICE
[redacted]

U. S. Department of Justice

Washington, D.C. 20530

FEB 2 4 1997

[redacted]
Supervisory Special Agent
Federal Bureau of Investigation
7799 Leesburg Pike
Suite 200 - South Tower
Falls Church, Virginia 22043

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Dear [redacted]

As you are aware, information was brought to our attention that [redacted] Samuel Berger, Deputy Assistant to the President for National Security Affairs [redacted] may have violated the conflicts of interest law, 18 U.S.C. § 208. An investigation was undertaken to determine whether any of these individuals was a covered person under the Independent Counsel Act (the Act), 28 U.S.C. § 591 et seq.

This is to confirm that we have concluded that none of these individuals is covered under the provisions of the Act. Accordingly, this Section has proceeded to investigate these matters in conjunction with the assigned agents from your office.

Sincerely,

Lee J. Radek
Chief
Public Integrity Section
Criminal Division

211-WF-203315-23
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FEDERAL BUREAU OF INVESTIGATION
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FM DIRECTOR FBI (58A-0)

TO FBI WMFO/PRIORITY/

BT

UNCLAS

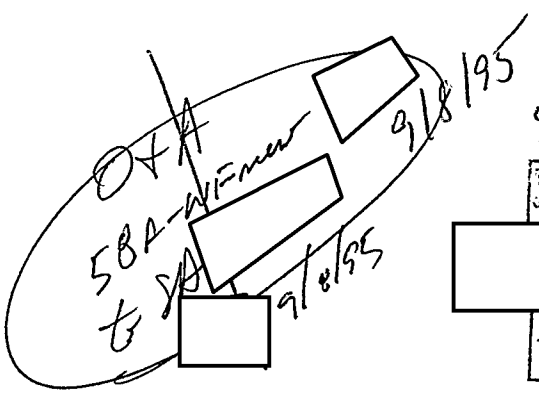
CITE: //0622//

PASS: SUPERVISORY SPECIAL AGENT [redacted] NORTHERN VIRGINIA METROPOLITAN RESIDENT AGENCY (NVMRA), C-20.

SUBJECT: [redacted] SAMUEL BERGER, DEPJTY ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY; CORRUPTION OF FEDERAL PUBLIC OFFICIAL - EXECUTIVE BRANCH; CONFLICT OF INTEREST; OO: WMFO. b6 b7C

REBUTELCAL TO SPECIAL AGENT (SA) [redacted] NVMRA, C-20, 9/6/95.

REFACSIMILE OF LETTER FROM ACTING ASSISTANT ATTORNEY GENERAL, CRIMINAL DIVISION, DEPARTMENT OF JUSTICE (DOJ), TO



b6 b7C

DIRECTOR, FBI, 9/1/95.

REFERENCED LETTER REQUESTS INVESTIGATIVE ASSISTANCE OF FBI IN POSSIBLE CONFLICTS OF INTEREST MATTERS INVOLVING TWO CAPTIONE WHITE HOUSE ADVISORS. WHITE HOUSE COUNSEL REFERRED TO DOJ ALLEGATIONS OF POSSIBLE CONFLICTS OF INTEREST, VIOLATION OF TITL 18 USC SECTION 208, INVOLVING [redacted] AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT FO NATIONAL SECURITY. POSSIBLE CONFLICT OF INTEREST MAY HAVE OCCURRED WHEN THESE TWO OFFICIALS AND FAMILY OF BERGER FAILED TO DIVEST THEMSELVES OF ENERGY OR OIL STOCK HELD BY BOTH OFFICIALS IN AMOCO, EXXON AND MOBIL CORPORATIONS. FURTHER, PRIOR TO DIVESTITURE, EACH OFFICIAL MAY HAVE PARTICIPATED IN CERTAIN FOREIGN POLICY DELIBERATIONS ON MATTERS THAT COULD HAVE AFFECTED VALUE OF THESE STOCKS. b6 b7C

SUSAN J. PARK, TRIAL ATTORNEY, PUBLIC INTEGRITY SECTION (PIS), DOJ, TELEPHONE [redacted] WILL DIRECT PROSECUTIVE EFFORT AND HAS ADDITIONAL DOCUMENTATION REGARDING THESE ALLEGATIONS. WMFO IS REQUESTED TO EXPEDITIOUSLY CONTACT PIS AND ESTABLISH INVESTIGATIVE DIRECTION FOR CAPTIONED MATTER. b6 b7C

THEREAFTER, WMFO IS REQUESTED TO BRIEF PUBLIC CORRUPTION UNIT OF INVESTIGATIVE DEVELOPMENTS.

F2- BERGER, SAMUEL, DAVID
WF CASE NO: 190-C0000001-E MAIN-REF: R RACE: U SEX: M
(SN) INDEXED: 111489 NAME TYPE: EVENT DATE: DOB:
F3- BERGER, SAMUEL, R
CASE NO: WF-0188722 MAIN-REF: R RACE: U SEX: M
(S) CLASS: [redacted] INDEXED: 051994 NAME TYPE: EVENT DATE: DOB:
F4- BERGER, SAMUEL, RICHARD
CASE NO: HQ-1043770 MAIN-REF: M RACE: U SEX: M
(SN) CLASS: 161B INDEXED: 011593 NAME TYPE: EVENT DATE: DOB: 102845
F5- BERGER, SANDY
CASE NO: HQ-1043770 MAIN-REF: M RACE: U SEX: M
(SN) CLASS: 161B INDEXED: 011593 NAME TYPE: A EVENT DATE: DOB: 10284[redacted] b3 b7E
F6- BERGER, SANDY
CASE NO: WF-0191222-EL-1A MAIN-REF: R RACE: U SEX: U
(S) CLASS: [redacted] INDEXED: 030295 NAME TYPE: EVENT DATE: DOB:
F7- BERGER, SANDY
CASE NO: [redacted] MAIN-REF: R RACE: U SEX: F
(S) INDEXED: 060992 NAME TYPE: EVENT DATE: DOB:
F8- BERGER, SANDY
CASE NO: [redacted] MAIN-REF: R RACE: U SEX: F
(S) INDEXED: 021590 NAME TYPE: EVENT DATE: DOB:
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(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 09/08/1995

To: WMFO **Attn:** SAC MEGARY
ASAC [redacted]

From: WMFO
NVMRA, Squad C-20
Contact: SA [redacted] X9115

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]

File Number(s): 58A-WF-NEW ~~(Pending)~~

Title: POSSIBLE CONFLICTS OF INTEREST BY [redacted]
AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY;
CFPO - EXECUTIVE;
OO:WMFO

Synopsis: Summary of new case.

Details: For information, White House Counsel ABNER J. MIKVA has referred to the Department of Justice information concerning possible conflicts of interest in potential violation of Title 18 U.S.C., Section 208 by captioned subjects. Each official is alleged to have delayed sales of energy or oil stocks held by them individually or by various family members. Specifically, [redacted] SAMUEL BERGER delayed divestiture of AMOCO stock held by his wife and children. Prior to divestiture, each may have participated in certain foreign policy deliberations on matters that could have affected the value of these stocks.

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1-SAC MEGARY
1-ASAC [redacted]
1-SSA [redacted]
1-file

58A-WF-200802-4

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
SEP 11 1995
FBI — WASH. METRO FIELD OFFICE
[redacted]

attachments

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

To: WMFO From: WMFO
Re: 58A-WF-NEW, 09/08/1995

On 9/8/95, writer met with Trial Attorney SUSAN J. PARK, Public Integrity Section, U.S. Department of Justice, concerning this matter. PARK has requested that several interviews be conducted and should include officials at the White House, the National Security Council and the Office of Government Ethics (OGE). PARK also requested a thorough review of all relevant documents concerning captioned matter. PARK advised that [redacted]

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Attached is a copy of a letter sent to the Director from [redacted] Acting Assistant Attorney General, dated 9/1/95. The letter requests the Bureau's assistance in this matter. Writer will provide SAC/ASAC with periodic updates.

Investigation continuing.

WMFO 58A-WF-200802

[redacted]

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The following investigation was conducted by Special Agents (SAs) [redacted] and [redacted] on September 15, 1995:

A review of numerous New York Stock Exchange records was conducted at the Fairfax Regional Public Library, Fairfax, Virginia. The review determined that EXXON CORPORATION stock saw a significant increase in value in April 1993, but decreased in value later in the year. In 1994, EXXON took a nose dive during the summer months but rebounded in late 1994. EXXON has continued to see an increase in the value of its stock during each month in 1995.

Records also revealed that MOBIL CORPORATION stock has increased in value during 1993, 1994 and 1995. AMOCO CORPORATION stock fluctuated up and down in 1993, however, during the summer of 1994, AMOCO began a steady increase in value and has continued that increase through the summer of 1995.

Attached are copies of reference materials collected from current editions of VALUE LINE (PETROLEUM) and from Standard and Poor's Stock Reports.

58A-WF-200802-5

OPEC is holding the line on oil production, but that could soon change. We don't think a price war is in the offing, however.

Surging gasoline demand in the U.S. should lift refining profits, but the startup of the reformulated gasoline program has added an element of uncertainty.

The largest oil companies are strategically repositioning their assets out of more mature markets, such as Europe, and into areas of high demand growth like the Pacific Rim.

Chemical profits remain strong in the U.S., but appear to be leveling off. European chemical operations don't seem to have reached their peak yet, though.

Integrated oils have protected profits, in spite of oil price volatility, by engaging in diverse operations. That helps to assure, for many stocks here, at least moderate 3- to 5-year total return potential.

Rumblings of Changes on the Horizon Arise from the OPEC Meeting

The OPEC oil ministers met in Vienna earlier this month to discuss strategy, but they were conspicuously silent regarding details. We expect OPEC to maintain oil production quotas at least until yearend. That would mark over two years of steady supply from the cartel. The group is unhappy, though, that most new demand for oil is being met from sources not in their domain. OPEC members feel that it is their discipline in restraining output that is helping support oil prices. So we expect some modifications in OPEC's game plan in 1996.

Although the worry is that OPEC will open its spigots and go all out to produce oil, that scenario seems unlikely. That strategy, last used in 1986 to gain market share, resulted in the collapse of oil prices to under $10 a barrel. The low prices probably more than negated the higher volumes produced. So, while OPEC now seems easily capable of raising output sizably (the group was producing 25% more oil 15 years ago), it probably won't for fear of pushing revenues down. We do expect OPEC to begin lifting member quotas from 2%-5% in '96, though. That should keep oil prices from rising much any time soon. In all, we look for West Texas Intermediate crude to average $18.50 a barrel in '95, $19.00 a barrel in '96, and $21-$23 a barrel by 1998-2000.

INDUSTRY TIMELINESS: 74 (of 97)

Conditions are Better for U.S. Refiners . . .

Demand in the world's largest market for petroleum products, the U.S., is mature, but is expanding more rapidly than it has in quite some time. That's due to the highest gasoline use in many years. On the strength of demand during this summer's driving season, we expect annual domestic gasoline requirements to be the highest since 1978. That's a testament to the good economy and the steadily rising U.S. driver population. Consequently, U.S. gasoline use will likely finally overtake 17 years of increasing automobile fuel efficiency. And, for that matter, conservation efforts haven't been high on the priority list lately, either.

As a result of improving margins, domestic refiners are probably now winding up a much-improved financial quarter compared to the March period, when warm weather created a surplus of heating fuel. In addition, refiners should do reasonably well in the second half of '95. We expect gasoline demand to remain firm through the summer, and we assume a more normal heating season heading into the fall and winter. In 1996, we're expecting a pickup in the economy to result in still higher gasoline demand. That should provide further support to refiners profits.

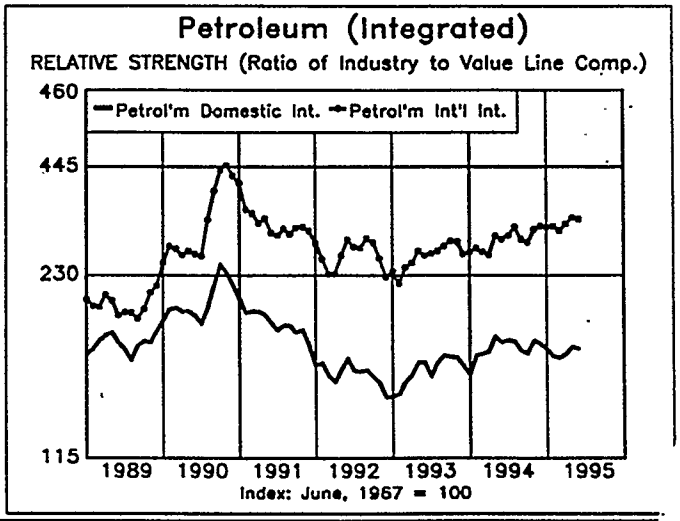
. . . but the Reformulated Gasoline Program is Proving Unsettling

Despite strong product demand lately, all is not rosy on the U.S. refining landscape. Implementation of the reformulated gasoline (RFG) program has been a big headache recently. While certain areas are required to use the new gas, other geographic areas are allowed the flexibility to "opt-in" or "opt-out" of the program. That inexactness has led some refiners to gear up for RFG demand in regions that eventually dropped out of the plan. *Sun Co.*, for instance, had already shipped reformulated gas to a number of counties in Pennsylvania when, as it turned out, those jurisdictions ultimately chose not to participate in the program. *Ashland* geared up one of its refineries to produce RFG for most of Kentucky, but now most of that state appears to be backing out of the program. In sum, there is some risk that investments in plant designed to make RFG will become "stranded", with little or no return available.

Moreover, shortcomings in the execution of the RFG plan bode ill for refiner's plant decisions out to decade's end. A more complex model of the law is slated to go into

Composite Statistics: Petroleum (Integrated)

1991	1992	1993	1994	1995	1996		98-00
596464	564774	550559	564613	*645000*	*650000*	Sales ($mill)	*750000*
12.6%	11.6%	12.6%	12.5%	*13.5%*	*13.5%*	Operating Margin	*16.0%*
36415	34189	34284	35624	*37500*	*39000*	Depreciation ($mill)	*45000*
22091	20050	20496	22471	*27500*	*28000*	Net Profit ($mill)	*33750*
43.5%	37.2%	39.3%	40.3%	*42.0%*	*42.0%*	Income Tax Rate	*42.0%*
3.7%	3.6%	3.7%	4.0%	*4.3%*	*4.3%*	Net Profit Margin	*4.5%*
9359.2	8785.0	10776	11027	*12500*	*12000*	Working Cap'l ($mill)	*15000*
89338	90631	92679	93969	*97500*	*98000*	Long-Term Debt ($mill)	*105000*
216236	203522	205842	207652	*212500*	*215000*	Net Worth ($mill)	*250000*
8.4%	8.0%	8.0%	8.2%	*9.0%*	*9.0%*	% Earned Total Cap'l	*9.5%*
10.2%	9.9%	10.0%	10.5%	*13.0%*	*13.0%*	% Earned Net Worth	*13.5%*
2.5%	1.8%	2.4%	2.4%	*4.5%*	*4.5%*	% Retained to Comm Eq	*6.0%*
76%	82%	77%	77%	*60%*	*62%*	% All Div'ds to Net Prof	*54%*
15.0	16.0	17.3	15.9	*Bold figures are Value Line estimates*		Avg Ann'l P/E Ratio	*14.5*
.96	.97	1.02	1.05			Relative P/E Ratio	*1.10*
5.1%	5.1%	4.4%	4.8%			Avg Ann'l Div'd Yield	*5.1%*



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effect at the start of 1998, while stricter emissions requirements for RFG are on tap for Jan. 1, 2000. At this point, refiners are apparently loathe to make additional investments to upgrade facilities when it's not clear there will be sufficient demand for the more environmentally-friendly fuel. So, although refinery capacity utilization is near an all-time high of 95%-96% and demand for gasoline is strong, we're viewing the U.S refining business more cautiously. That's at least until the uncertainties created by the reformulated gasoline program are cleared up.

Certain Trends are Apparent in Refining Overseas

A notable shift is taking place that involves the pullback of refiners from European operations, while building up their Asian businesses as quickly as possible. The market for petroleum products in Europe is clearly mature, and has not been showing much demand growth lately. That has led companies such as the *Royal Dutch/Shell Group* and *Mobil* to downsize and/or close facilities there. We expect that reducing capacity in the system will eventually boost profitability, but refining margins in Europe will probably remain soft in the year ahead.

Most of the global demand growth for petroleum products is taking place in the Asia/Pacific region. We figure that area has supplanted Europe as the world's second largest geographic market, and that about 70% of worldwide refinery construction is taking place there. That's in contrast to the U.S., where no new refineries have been built in over 20 years. Moreover, most of the increase in demand is for the more profitable transportation fuels, such as gasoline and jet fuel, rather than for heating products. With that attraction, it's little wonder that most of the major oil companies are repositioning into the Asia/Pacific region. Royal Dutch/Shell and *British Petroleum* had something of a head start in the area, since their home countries have long-standing ties to many Asian nations, but Mobil, *Chevron*, and *Exxon* have done a lot of catching up. We expect all of these companies, the biggest of the integrated oils, to be the major beneficiaries of growth in the Pacific Rim since they possess the substantial capital necessary for investment in the Far East.

The Chemical Cycle is Up and Moving Along

Profits from chemical operations are lately the best they've been in more than five years. But a year old now, the expansion in this area is showing signs of maturity. Margin growth has paused, indicating the cycle has reached a plateau. In the U.S., it seems clear that plastics manufacturers, who are the main customers of the chemical divisions of oil companies, haven't fully been able to pass along their higher feedstock costs. We expect the result could well be slightly less demand for petrochemicals in the second half of '95, which would pressure margins.

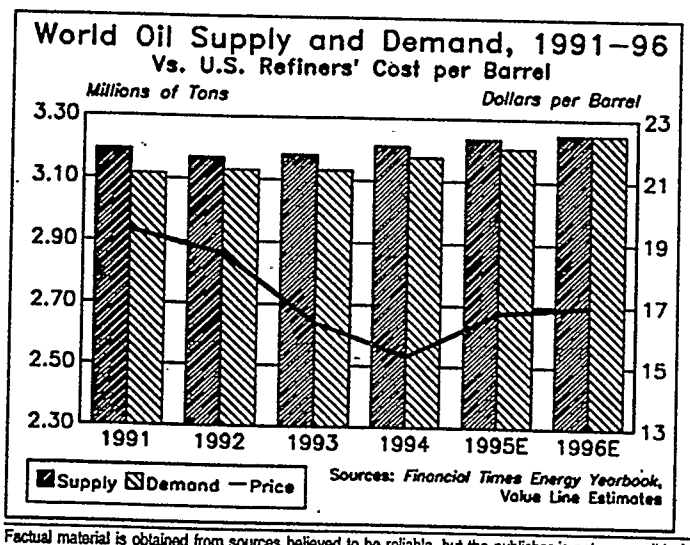
Prospects for chemical earnings in '96 are better. For the time being, the chemical cycle seems tied to the broader economy. And if economic growth picks up next year, as we expect, that would work to reignite margin growth. In any case, historically, the peak years of a chemical cycle have usually lasted two to three years. That would imply there's at least a couple of good years for profits left in the current cycle. Meanwhile, in Europe, the chemical cycle is somewhat less mature than stateside, since the economic recovery got underway later over there. That probably means there's more profit growth left in chemicals for companies such as Royal/Dutch Shell, British Petroleum, and *Repsol*, which have a large European presence.

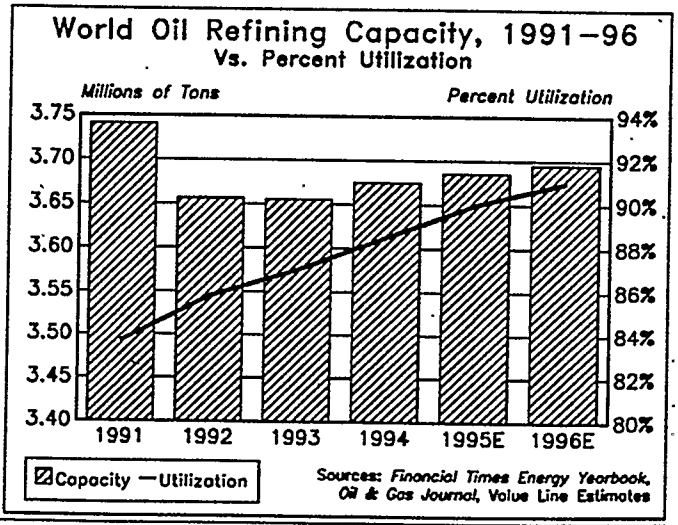
Investment Advice

By virtue of their integration, most companies here are largely, but not completely, insulated from drastic swings in oil prices. Higher oil prices provide more benefit for the integrateds, since producing oil is a higher margin business than refining oil is. That's the case even though, typically, the integrateds use more oil than they find. Pure refiners probably benefit more from declining oil prices, though, since that lowers their feedstock costs. So, whatever course OPEC takes, we expect profit growth in the group to remain largely intact in the years ahead, as long as demand for petroleum products keeps rising. The strength of chemicals in recent years should provide further support for earnings.

There are a number of equities in this industry that have appeal for investors with a horizon greater than one or two years. Many stocks here can be considered income stocks with modest appreciation potential. The combination of dividend income and capital gain potential forms interesting 3- to 5-year total return possibilities for the shares of numerous companies in the group. That's especially true when adjusted for risk. Most equities here are at least average-ranked for Safety, while several top-quality issues stand out.

Robert Mitkowski, Jr.





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AMOCO CORP. NYSE-AN

RECENT PRICE 67 | P/E RATIO 15.8 (Trailing: 17.4 Median: 15.0) | RELATIVE P/E RATIO 1.11 | DIV'D YLD 3.6% | VALUE LINE 404

TIMELINESS 3 Average (Relative Price Performance Next 12 Mos.)
SAFETY 1 Highest (Scale: 1 Highest to 5 Lowest)
BETA .65 (1.00 = Market)

1998-00 PROJECTIONS

	Price	Gain	Ann'l Total Return
High	95	(+40%)	12%
Low	75	(+10%)	7%

Insider Decisions

	A	S	O	N	D	J	F	M	A
to Buy	0	0	0	1	0	0	0	0	0
Options	3	3	1	4	2	0	0	0	0
to Sell	1	1	2	1	0	0	0	1	1

Institutional Decisions

	3Q'94	4Q'94	1Q'95
to Buy	217	187	238
to Sell	212	236	210
Hld's(000)	293551	286739	292460

	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	© VALUE LINE PUB., INC.	98-00
	31.18	44.69	50.71	48.04	47.29	49.64	52.03	35.75	39.15	40.90	46.85	55.80	51.02	50.94	51.04	52.47	*56.00*	*59.75*	Sales per sh [A]	*72.15*
	4.29	5.46	5.75	5.94	6.29	7.77	7.75	5.95	7.09	8.11	8.03	8.32	6.96	7.82	7.95	8.11	*8.85*	*9.50*	"Cash Flow" per sh	*12.55*
	2.56	3.27	3.28	3.22	3.25	3.76	3.71	1.80	2.66	3.73	3.12	3.48	2.41	2.91	3.52	3.60	*4.25*	*4.75*	Earnings per sh [B]	*6.50*
	.75	1.00	1.30	1.40	1.40	1.50	1.65	1.65	1.65	1.75	1.90	2.04	2.20	2.20	2.20	2.20	*2.40*	*2.65*	Div'ds Decl'd per sh [Cs]	*3.50*
	4.09	5.57	6.82	5.51	5.02	6.16	7.50	4.41	4.53	7.15	5.17	6.02	6.33	4.70	5.67	5.18	*6.20*	*6.00*	Cap'l Spending per sh	*7.90*
	14.02	16.05	18.06	19.55	21.29	23.07	22.39	22.14	23.50	25.80	26.75	28.03	28.52	26.11	27.53	28.97	*30.90*	*32.85*	Book Value per sh	*40.40*
	596.78	584.72	590.55	584.37	584.41	542.86	517.46	511.40	515.27	517.07	511.53	501.96	496.34	496.30	496.40	496.39	*500.00*	*502.00*	Common Shs Outst'g [D]	*506.00*
	6.5	9.3	9.1	6.4	7.3	7.4	8.5	17.4	14.7	10.0	14.4	15.4	21.4	16.7	15.6	16.0	*Bold figures are Value Line estimates*		Avg Ann'l P/E Ratio	*13.0*
	.94	1.24	1.11	.71	.62	.69	.69	1.18	.98	.83	1.09	1.14	1.37	1.01	.92	1.05			Relative P/E Ratio	*1.00*
	4.5%	3.3%	4.4%	6.8%	5.9%	5.4%	5.2%	5.3%	4.2%	4.7%	4.2%	3.8%	4.3%	4.5%	4.0%	3.8%			Avg Ann'l Div'd Yield	*4.1%*
							26922	18281	20174	21150	23966	28010	25325	25280	25336	26048	*28000*	*30000*	Sales ($mill) [A]	*36500*
							22.2%	24.2%	24.2%	27.1%	23.0%	19.8%	17.8%	17.0%	17.6%	15.9%	*16.6%*	*17.5%*	Operating Margin	*21.0%*
							2059.0	2118.0	2295.0	2318.0	2500.0	2413.0	2239.0	2440.0	2193.0	2239.0	*2300*	*2400*	Depreciation ($mill)	*3050*
							1953.0	924.0	1360.0	1877.0	1610.0	1764.0	1216.0	1440.0	1753.0	1789.0	*2115*	*2380*	Net Profit ($mill)	*3285*
							48.8%	52.0%	45.8%	38.3%	40.3%	45.9%	41.5%	20.4%	26.6%	28.2%	*30.0%*	*32.0%*	Income Tax Rate	*32.0%*
							7.3%	5.1%	6.7%	8.9%	6.7%	6.3%	4.8%	5.7%	6.9%	6.9%	*7.6%*	*7.9%*	Net Profit Margin	*9.0%*
							d739.0	d390.0	661.0	d75.0	540.0	1417.0	d164.0	810.0	751.0	1618.0	*1865*	*2365*	Working Cap'l ($mill)	*4350*
							3122.0	3320.0	3081.0	6049.0	5658.0	5249.0	4596.0	5113.0	4037.0	4387.0	*4400*	*4450*	Long-Term Debt ($mill)	*4600*
							11588	11324	12107	13342	13684	14068	14156	12960	13665	14382	*15440*	*16500*	Net Worth ($mill)	*20430*
							14.3%	7.7%	9.9%	10.8%	9.8%	10.4%	7.6%	8.6%	10.6%	10.2%	*11.5%*	*12.0%*	% Earned Total Cap'l	*13.5%*
							16.9%	8.2%	11.2%	14.1%	11.8%	12.5%	8.6%	11.1%	12.8%	12.4%	*13.5%*	*14.5%*	% Earned Net Worth	*16.0%*
							9.3%	.7%	4.2%	7.3%	4.6%	5.2%	.8%	2.7%	4.8%	4.8%	*6.0%*	*6.5%*	% Retained to Comm Eq	*7.5%*
							45%	92%	62%	48%	61%	59%	90%	76%	62%	61%	*57%*	*56%*	% All Div'ds to Net Prof	*54%*

Target Price Range 1998 | 1999 | 2000

Options: CBOE

Shaded areas indicate recessions

CAPITAL STRUCTURE as of 3/31/95
Total Debt $4711 mill. Due in 5 Yrs $1400 mill.
LT Debt $4220 mill. LT Interest $315 mill.
(LT interest earned 11.2x; total interest coverage: 9.0x) (22% of Cap'l)

Leases, Uncapitalized Annual rentals $191 mill.

Pension Liability None

Pfd Stock None

Common Stock 496,464,913 shares (78% of Cap'l)

CURRENT POSITION ($MILL.)	1993	1994	3/31/95
Cash Assets	1217.0	1789.0	1824.0
Receivables	3196.0	3180.0	2853.0
Inventory (LIFO)	1110.0	1042.0	1028.0
Other	571.0	631.0	650.0
Current Assets	6094.0	6642.0	6355.0
Accts Payable	2473.0	2759.0	2437.0
Debt Due	1060.0	248.0	491.0
Other	1810.0	2017.0	1727.0
Current Liab.	5343.0	5024.0	4655.0

ANNUAL RATES of change (per sh)	Past 10 Yrs.	Past 5 Yrs.	Est'd '92-'94 to '98-'00
Sales	.5%	4.0%	*6.0%*
"Cash Flow"	2.0%	.5%	*8.0%*
Earnings	--	1.0%	*11.5%*
Dividends	4.5%	4.5%	*8.0%*
Book Value	2.5%	1.5%	*6.5%*

Calendar	QUARTERLY SALES ($ mill.) [A] Mar.31	Jun.30	Sep.30	Dec.31	Full Year
1992	5652	6629	6475	6524	25280
1993	6233	6486	6205	6412	25336
1994	5861	6596	6764	6827	26048
1995	6620	*7000*	*7000*	*7380*	*28000*
1996	*6500*	*7800*	*7500*	*8200*	*30000*

Calendar	EARNINGS PER SHARE [B] Mar.31	Jun.30	Sep.30	Dec.31	Full Year
1992	.47	.48	.86	1.10	2.91
1993	.46	.98	1.15	.93	3.52
1994	.80	.83	.89	1.08	3.60
1995	1.05	*1.10*	*1.00*	*1.10*	*4.25*
1996	*1.10*	*1.15*	*1.20*	*1.30*	*4.75*

Calendar	QUARTERLY DIVIDENDS PAID [Cs] Mar.31	Jun.30	Sep.30	Dec.31	Full Year
1991	.55	.55	.55	.55	2.20
1992	.55	.55	.55	.55	2.20
1993	.55	.55	.55	.55	2.20
1994	.55	.55	.55	.55	2.20
1995	.60	.60			

BUSINESS: Amoco Corporation is one of the largest U.S. integrated petroleum companies. Daily worldwide net production '94: crude and liquids, 670,000 bbl.; natural gas, 4.2 bill. cu. ft. Net reserves (12/94): oil and liquids, 2.2 bill. bbl.; gas, 18.5 trill. cu. ft; estimated pretax present value: $20.2 bill. in '94 vs. $18.5 bill. in '93. Est. 5-yr. finding cost: $8.00/bbl. 5-yr. reserve replacement ratio including acq./divest.: 75%. Daily refinery runs: 959,000 bbls.; product sales: 1,177,000 bbls.. Acq. Dome Petroleum of Canada and Tenneco, '88. Has about 43,200 emplys.; 134,775 shrhldrs. Officers & Directors own less than 1% of common (3/95 Proxy). Chairman & C.E.O.: H.L. Fuller, Inc.: Indiana. Address: 200 East Randolph Drive, Chicago, Illinois 60601. Telephone: 312-856-6111.

We have raised our 1995 and 1996 share earnings estimates for Amoco to $4.25 and $4.75, respectively. In the first quarter, a warmer-than-normal winter, combined with the introduction of reformulated gasoline, resulted in weak refining margins. Meanwhile, relatively strong oil prices were offset by weak natural gas prices. In fact, first-quarter worldwide exploration and production profits were about flat with the year-ago tally; refining results fared much worse. However, with the start of the summer driving season, increased demand has raised gasoline prices, resulting in improving refining margins. Moreover, natural gas prices have picked up modestly, which should help lift upstream earnings. In addition, benefits from the company's cost-reduction efforts are appearing on the bottom line. Lastly . . .

The Chemical unit's earnings are on a tear, similar to the extraordinary results that are currently prevalent in the chemical industry. In fact, because of this business, Amoco's earnings comparisons continue to remain favorable. And the future looks promising as well. Demand for purified terephthalic acid (PTA), the preferred raw material of polyester, has been extremely strong due to growth in the global economy and increased penetration of polymers into the textile and other markets. To better capitalize on the projected robust demand, Amoco has announced plans to expand or build new PTA capacity in several areas. Earnings from paraxylene, an ingredient in PTA, should benefit as well.

About 9 million shares were repurchased. This move will offset the conversion of a portion of the debt of Amoco Canada (a wholly owned subsidiary).

These shares have risen substantially over the last three months, much in line with the rest of the market. However, the price runup has reduced this issue's three- to five-year total return potential to below average. But,

This issue's top quality may still interest risk-averse investors. Moreover, based on our cash flow projections, we expect the dividend will rise steadily in the years ahead, which will appeal to income-oriented investors.

Keith E. Ferguson *June 30, 1995*

(A) Excludes excise taxes. (B) Based on average shares outst'g. Excludes nonrecurring gains (losses): '82, 10¢; '83, (6¢); '84, 9¢; '86, (35¢); '88, 27¢; '90, 29¢; '91, 57¢; '92, ($1.37); '93, (14¢). Next egs. report due late July.
(C) Next dividend meeting about July 26. Goes ex about Aug. 3. Dividend payment dates: March 10, June 10, Sept. 10, Dec. 10.
■ Dividend reinvestment plan available.
(D) In millions, adjusted for stock splits.

Company's Financial Strength	A+
Stock's Price Stability	95
Price Growth Persistence	65
Earnings Predictability	60

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EXXON CORP. NYSE-XON

RECENT PRICE 69 | P/E RATIO 14.2 (Trailing: 15.4 / Median: 13.0) | RELATIVE P/E RATIO 1.00 | DIV'D YLD 4.6% | VALUE LINE 411

TIMELINESS 3 Average (Relative Price Performance Next 12 Mos.)
SAFETY 1 Highest (Scale: 1 Highest to 5 Lowest)
BETA .60 (1.00 = Market)

1998-00 PROJECTIONS

	Price	Gain	Ann'l Total Return
High	85	(+25%)	10%
Low	70	Nil	5%

Insider Decisions

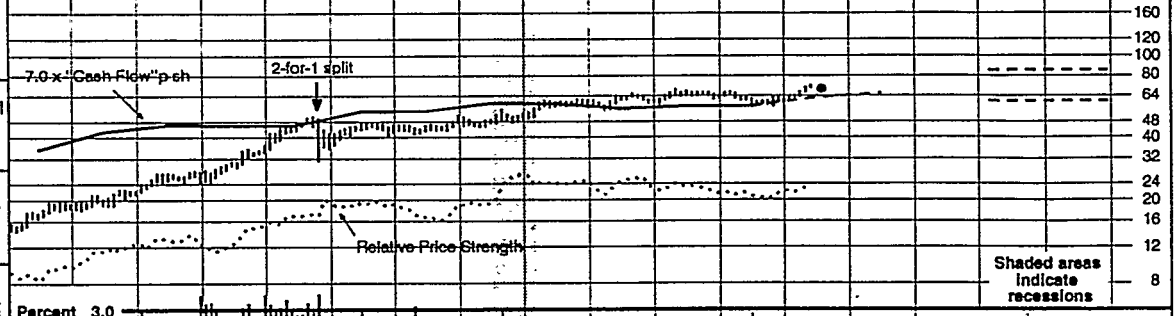
	A	S	O	N	D	J	F	M	A
to Buy	1	0	1	1	0	2	0	0	0
Options	2	0	0	1	0	6	1	1	2
to Sell	1	0	1	0	0	0	0	1	3

Institutional Decisions

	3Q'94	4Q'94	1Q'95
to Buy	229	227	263
to Sell	290	297	273
Hld's(000)	496221	488336	492974

	High:	22.8	27.9	37.1	50.8	47.8	51.6	55.1	61.9	65.5	69.0	67.3	72.3
	Low:	18.1	22.1	24.2	30.9	36.8	41.5	44.9	49.6	53.8	57.8	56.1	60.3

Target Price Range 1998 | 1999 | 2000



Options: CBOE

1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	© VALUE LINE PUB., INC.	98-00
45.07	59.68	62.25	56.10	52.33	58.02	59.28	48.69	55.40	61.72	69.32	84.75	82.81	83.06	80.12	82.09	*89.75*	*92.15*	Sales per sh[A]	*103.00*
3.60	4.59	4.90	4.32	5.03	6.13	6.63	6.55	6.58	7.68	7.70	8.42	8.34	7.88	8.12	7.75	*8.95*	*9.40*	"Cash Flow" per sh	*11.15*
2.44	3.25	3.22	2.41	2.89	3.39	3.72	3.45	3.43	3.84	3.65	3.96	4.45	3.82	4.21	3.68	*4.85*	*5.35*	Earnings per sh[B]	*6.40*
.98	1.35	1.50	1.50	1.55	1.68	1.73	1.80	1.90	2.15	2.30	2.47	2.68	2.83	2.88	2.91	*3.00*	*3.15*	Div'ds Decl'd per sh[C] ■	*3.75*
3.05	3.74	5.18	5.22	4.21	5.01	6.05	3.76	4.20	4.59	5.05	5.26	5.90	5.82	5.60	6.63	*6.75*	*6.75*	Cap'l Spending per sh	*7.00*
12.85	14.70	16.42	16.42	17.40	18.42	19.90	22.30	24.38	24.64	24.20	26.55	28.12	26.57	27.48	28.16	*30.45*	*32.45*	Book Value per sh	*37.75*
1755.3	1728.3	1736.7	1732.0	1692.2	1566.0	1462.0	1435.3	1379.4	1289.0	1250.0	1245.0	1242.0	1242.0	1242.0	1242.0	*1234.0*	*1228.0*	Common Shs Outst'g[D]	*1210.0*
5.5	5.3	5.2	5.9	6.0	6.1	6.9	8.9	12.7	11.5	12.3	12.3	13.0	15.8	15.3	16.7	*Bold figures are Value Line estimates*		Avg Ann'l P/E Ratio	*12.0*
.80	.70	.63	.65	.51	.57	.56	.60	.85	.95	.93	.91	.83	.96	.90	1.05			Relative P/E Ratio	*.90*
7.3%	7.9%	8.9%	10.5%	8.9%	8.1%	6.8%	5.9%	4.4%	4.9%	5.1%	5.1%	4.6%	4.7%	4.5%	4.7%			Avg Ann'l Div'd Yield	*5.5%*
86673	69888	76416	79557	86656	105519	102847	103160	99504	101459	*109000*	*114000*	Sales ($mill)[A]	*125000*
16.6%	17.0%	14.7%	16.4%	15.0%	13.4%	12.5%	11.3%	13.7%	12.6%	*13.5%*	*14.0%*	Operating Margin	*15.0%*
4274.0	4415.0	4239.0	4790.0	5002.0	5545.0	4824.0	5044.0	4884.0	5015	*5000*	*5100*	Depreciation ($mill)	*5700*
5415.0	4991.0	4840.0	5108.0	4655.0	5010.0	5600.0	4810.0	5280.0	4611	*6000*	*6400*	Net Profit ($mill)	*7800*
47.4%	36.6%	34.6%	36.7%	37.0%	37.5%	33.6%	32.9%	33.2%	34.6%	*35.0%*	*35.0%*	Income Tax Rate	*35.0%*
6.2%	7.1%	6.3%	6.4%	5.4%	4.7%	5.4%	4.7%	5.3%	5.0%	*5.5%*	*5.7%*	Net Profit Margin	*6.2%*
d1734	1100.0	95.0	d2633	d5408	d5689	d3842	d3239	d3731	d3033	*d2500*	*d1400*	Working Cap'l ($mill)	*1000*
4820.0	4294.0	5021.0	4689.0	9275.0	7687.0	8582.0	8637.0	8506.0	8831.0	*10500*	*12500*	Long-Term Debt ($mill)	*15000*
29096	32012	33626	31767	30244	33055	34927	33776	34792	37415	*37400*	*39800*	Net Worth ($mill)	*45000*
17.3%	14.5%	13.0%	14.5%	12.8%	13.0%	13.7%	12.3%	13.0%	11.0%	*14.0%*	*12.5%*	% Earned Total Cap'l	*14.0%*
18.6%	15.6%	14.4%	16.1%	15.4%	15.2%	16.0%	14.2%	15.2%	13.0%	*17.0%*	*16.0%*	% Earned Net Worth	*17.5%*
9.7%	7.5%	6.4%	7.0%	5.7%	5.6%	6.3%	3.7%	4.8%	2.6%	*6.0%*	*6.5%*	% Retained to Comm Eq	*7.0%*
48%	52%	55%	56%	63%	63%	61%	74%	69%	80%	*63%*	*60%*	% All Div'ds to Net Prof	*58%*

CAPITAL STRUCTURE as of 3/31/95
Total Debt $12759 mill. **Due in 5 Yrs** $7928 mill.
LT Debt $9178 mill. **LT Interest** $600 mill.
Includes $73 mill. capitalized leases.
(LT interest earned: 11.5x; total interest coverage: 8.7x) (19% of Cap'l)
Leases, Uncapitalized Annual rentals $652 mill.
Pension Liability: None
Pfd Stock $526 million **Pfd Div'd** $54 million
11 million shares of class A preferred stock, convertible at the lower of market value of common or $61.50 per sh. (1% of Cap'l)
Common Stock 1,242,233,354 shares (80% of Cap'l)

CURRENT POSITION ($MILL.)	1993	1994	3/31/95
Cash Assets	1652	1775	3174
Receivables	6860	8073	8431
Inventory (LIFO)	5472	5541	5522
Other	875	1071	1325
Current Assets	14859	16460	18452
Accts Payable	12122	13391	13925
Debt Due	4109	3858	3581
Other	2359	2244	2459
Current Liab.	18590	19493	19965

ANNUAL RATES of change (per sh)	Past 10 Yrs.	Past 5 Yrs.	Est'd '92-'94 to '98-'00
Sales	3.5%	8.0%	*4.0%*
"Cash Flow"	5.5%	3.0%	*3.5%*
Earnings	4.0%	3.0%	*5.0%*
Dividends	6.5%	7.5%	*5.0%*
Book Value	5.0%	3.0%	*3.5%*

Calendar	QUARTERLY SALES ($ mill.)[A] Mar.31	Jun.30	Sep.30	Dec.31	Full Year
1992	24475	24547	27452	26686	103160
1993	24504	24702	24455	25843	99504
1994	23223	24463	26373	27400	101459
1995	26709	*27000*	*27400*	*27881*	*109000*
1996	*28000*	*28500*	*28500*	*29000*	*114000*

Calendar	EARNINGS PER SHARE[B] Mar.31	Jun.30	Sep.30	Dec.31	Full Year
1992	1.06	.73	.91	1.12	3.82
1993	.94	.98	1.09	1.20	4.21
1994	.87	.70	.92	1.19	3.68
1995	1.32	*1.10*	*1.18*	*1.25*	*4.85*
1996	*1.40*	*1.25*	*1.30*	*1.40*	*5.35*

Calendar	QUARTERLY DIVIDENDS PAID[C] ■ Mar.31	Jun.30	Sep.30	Dec.31	Full Year
1991	.67	.67	.67	.67	2.68
1992	.67	.72	.72	.72	2.83
1993	.72	.72	.72	.72	2.88
1994	.72	.72	.72	.75	2.91
1995	.75	.75			

BUSINESS: Exxon Corp. is the world's largest publicly owned integrated oil company. Net production/day '94: oil & liquids, 1.7 mill. barrels; nat. gas, 6.0 bill. cu. ft. Reserves: 6.6 bill. bbls. crude and liquids; 42.2 trill. cu. ft. gas. Estimated pretax present value of worldwide reserves: $58.1 bill. in '94, vs. $44.5 bill. in '93. Est. 5-yr. avg. finding costs (worldwide): $4.80/bbl. (vs. industry avg. $4.96). 5-year reserve replacement ratio: 101% (vs. industry avg. 124%). Daily refinery runs, 3.4 mill. bbls.; product sales, 5.0 mill. bbls. Owns 70% of Imperial Oil. Employs 95,000; has 606,579 shareholders. Chairman and C.E.O.: L. R. Raymond. President: C. R. Sitter. Inc.: New Jersey. Address: 225 East John W. Carpenter Freeway. Irving, Texas 75062-2298. Telephone: 214-444-1900.

Exxon is performing well despite some challenging operating conditions. In fact, the company reported its best quarter since oil prices were inflated by the Gulf War four years ago. Most of the profit growth was due to higher oil prices and a record quarter at the chemicals division. Cost cutting continued to boost results as well. However, the gains in those areas were needed to offset very weak refining margins and low natural gas prices. Intense competition kept the prices of refined products from rising in line with the higher crude costs. In addition, the mild winter weather led to abundant supplies of natural gas, which depressed prices. Both businesses have improved only slightly in the second quarter, though we are expecting a modest improvement at the refining business going forward as cost increases are gradually passed through.

The chemical business should continue its dramatic improvement as the year progresses. Contributions from this unit will likely gain an increasing share of total earnings through 1996. The industry's cycle, which began to turn up in the second half of 1994, appears to have quite a bit of life remaining in it. Capacity is sold out for the rest of this year, and prices are rising rapidly. Profits in the latest quarter dwarfed the depressed refining results as they soared to $547 million, up from $414 million in the fourth quarter.

Exxon is well positioned for the long term. Though energy prices have generally been weak for several years, the bottom line held up well. Part of this can be attributed to management's success in reducing overhead spending by about $1 billion in each of the last several years. Separately, the company is a technological leader; finding costs for new reserves are among the lowest in the industry. While we are only estimating a modest hike in energy prices over the next 3 to 5 years, any strong gains, of course, would likely prove our projections conservative.

These good-yielding shares are ranked to keep pace with the average equity in the year ahead. Further these shares are ranked Highest for Safety, thus recommending them for conservative, income-oriented investors.

Thomas A. Mullé *June 30, 1995*

(A) Net of gasoline excise tax. (B) Based on average shares out. Excludes nonrecurring items: '85, d47¢; '86, 27¢; '88, 11¢; '89, d67¢; '91, 7¢; '94, 37¢. Next earnings report due late July. (C) Next dividend meeting about July 26. Goes ex about August 11. Approximate dividend payment dates: March 10, June 10, September 10, December 10. ■ Dividend reinvestment plan available. (D) In millions, adjusted for splits. •

Company's Financial Strength	A+
Stock's Price Stability	100
Price Growth Persistence	75
Earnings Predictability	80

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MOBIL CORP. NYSE-MOB

RECENT PRICE 97 | P/E RATIO 17.6 (Trailing: 19.1 Median: 14.0) | RELATIVE P/E RATIO 1.24 | DIV'D YLD 3.8% | VALUE LINE 416

TIMELINESS 3 Average (Relative Price Performance Next 12 Mos.)
SAFETY 1 Highest (Scale: 1 Highest to 5 Lowest)
BETA .65 (1.00 = Market)

1998-00 PROJECTIONS

	Price	Gain	Ann'l Total Return
High	140	(+45%)	13%
Low	115	(+20%)	8%

Insider Decisions

	A	S	O	N	D	J	F	M	A
to Buy	1	0	0	0	0	0	0	0	0
Options	0	0	1	3	0	7	0	3	1
to Sell	0	0	0	2	0	2	1	2	1

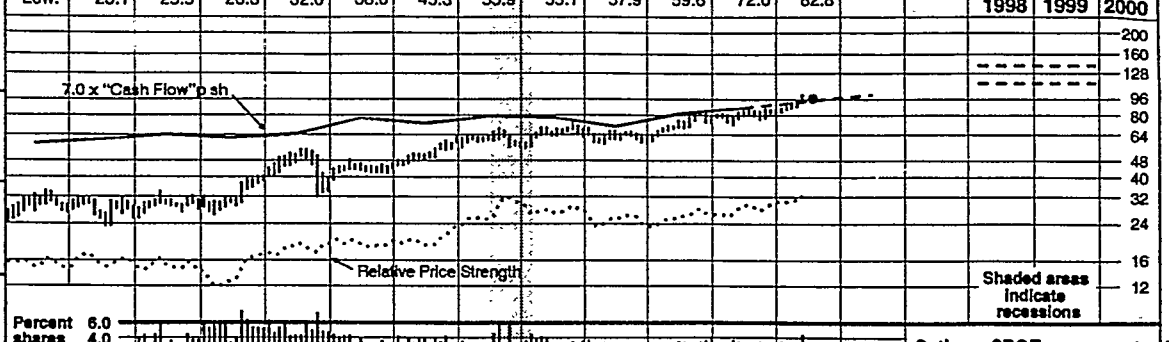
Institutional Decisions

	3Q'94	4Q'94	1Q'95
to Buy	213	174	230
to Sell	215	259	209
Hld's(000)	207598	203500	205434

	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	© VALUE LINE PUB., INC.	98-00
High:	32.1	34.4	40.9	55.0	49.1	63.3	69.5	73.1	69.8	84.8	87.1	102.0								
Low:	23.1	25.5	26.3	32.0	38.6	45.3	55.9	55.1	57.9	59.6	72.0	82.8								
	105.36	139.96	151.58	147.60	134.23	137.47	137.04	109.77	124.52	117.35	122.93	144.16	140.70	142.61	142.09	148.98	*164.15*	*166.65*	Sales per sh	*189.50*
	7.29	9.91	9.45	7.76	8.35	8.73	9.22	8.88	9.25	11.08	10.42	11.32	11.17	10.10	11.69	12.51	*13.45*	*14.45*	"Cash Flow" per sh	*17.10*
	4.73	6.62	5.72	3.31	3.70	3.38	3.96	3.59	3.06	4.54	4.25	4.58	4.65	3.13	4.94	4.82	*5.50*	*7.00*	Earnings per sh [A]	*8.50*
	1.28	1.73	2.00	2.00	2.00	2.20	2.20	2.20	2.20	2.35	2.55	2.82	3.13	3.20	3.25	3.40	*3.63*	*3.75*	Div'ds Decl'd per sh [B]	*4.25*
	6.22	8.29	8.39	9.41	7.55	7.14	6.67	5.86	5.69	7.78	7.01	10.91	12.69	11.21	9.18	9.66	*10.35*	*10.00*	Cap'l Spending per sh	*10.00*
	24.77	30.74	34.45	36.30	34.30	33.42	34.50	37.28	40.80	38.19	37.88	40.57	42.03	39.52	41.37	41.42	*45.15*	*48.40*	Book Value per sh	*52.65*
	424.46	425.19	425.44	406.15	406.82	407.70	408.35	408.73	411.36	410.73	408.52	401.08	398.30	398.82	398.17	395.99	*396.00*	*396.00*	Common Shs Outst'g [C]	*396.00*
	4.4	5.5	5.3	7.1	7.9	8.5	7.5	9.2	15.0	9.7	12.4	13.4	14.1	20.2	14.7	16.9	*Bold figures are Value Line estimates*		Avg Ann'l P/E Ratio	*15.0*
	.64	.73	.64	.78	.67	.79	.61	.62	1.00	.81	.94	1.00	.90	1.23	.87	1.11			Relative P/E Ratio	*1.15*
	6.1%	4.7%	6.6%	8.5%	6.8%	7.7%	7.4%	6.6%	4.8%	5.3%	4.8%	4.6%	4.8%	5.1%	4.5%	4.2%			Avg Ann'l Div'd Yield	*3.5%*
							55960	44866	51223	48198	50220	57819	56042	56877	56576	58995	*65000*	*66000*	Sales ($mill)	*75000*
							13.8%	12.6%	11.0%	12.5%	12.5%	11.9%	11.5%	10.1%	11.4%	11.2%	*11.5%*	*12.5%*	Operating Margin	*13.0%*
							2152.0	2169.0	2546.0	2683.0	2502.0	2682.0	2589.0	2780.0	2629.0	3098.0	*3150*	*3175*	Depreciation ($mill)	*3400*
							1612.0	1461.0	1258.0	1869.0	1762.0	1921.0	1920.0	1308.0	2084.0	1918.0	*2225*	*2825*	Net Profit ($mill)	*3425*
							67.8%	57.7%	58.5%	46.5%	52.5%	56.7%	52.3%	54.5%	48.1%	47.9%	*45.0%*	*48.0%*	Income Tax Rate	*48.0%*
							2.9%	3.3%	2.5%	3.9%	3.5%	3.3%	3.4%	2.3%	3.7%	3.3%	*3.4%*	*4.3%*	Net Profit Margin	*4.6%*
							147.0	437.0	513.0	923.0	704.0	d422.0	d1201	d1673	d1134	d2237	*d2450*	*d2000*	Working Cap'l ($mill)	*d1455*
							9745.0	8247.0	7399.0	6498.0	5317.0	4298.0	4715.0	5042.0	5027.0	4714.0	*4700*	*4700*	Long-Term Debt ($mill)	*4700*
							14089	15239	16783	15686	16274	17072	17534	16540	17237	17146	*17885*	*19175*	Net Worth ($mill)	*20850*
							9.3%	8.6%	7.2%	10.2%	9.1%	9.8%	9.7%	7.1%	10.0%	9.7%	*11.0%*	*12.5%*	% Earned Total Cap'l	*14.0%*
							11.4%	9.6%	7.5%	11.9%	10.8%	11.3%	11.0%	7.9%	12.1%	11.2%	*12.5%*	*15.0%*	% Earned Net Worth	*16.5%*
							5.1%	3.7%	2.1%	5.7%	4.6%	4.5%	3.6%	NMF	4.4%	3.1%	*4.0%*	*6.5%*	% Retained to Comm Eq	*8.0%*
							56%	61%	72%	52%	60%	62%	68%	102%	65%	74%	*67%*	*55%*	% All Div'ds to Net Prof	*51%*

Target Price Range 1998 | 1999 | 2000

Options: CBOE



CAPITAL STRUCTURE as of 3/31/95
Total Debt $7890 mill. **Due in 5 Yrs** $5938 mill.
LT Debt $4765 mill. **LT Interest** $420 mill.
Incl. $202 mill. capitalized leases.
(LT interest coverage: 15.6x; Total interest coverage: 9.4x) (21% of Cap'l)

Leases, Uncapitalized Annual rentals $332 mill.
Pension Liability None
Pfd Stock $739 mill. **Pfd Div'd** $60 mill.
95,069 shares, all held by ESOP, conv. into 100 common shares each at $77.75 each. (3% of Cap'l)

Common Stock 395,686,981 shs. (76% of Cap'l)

CURRENT POSITION ($MILL.)

	1993	1994	3/31/95
Cash Assets	827.0	531.0	458.0
Receivables	5557.0	6535.0	6412.0
Inventory (Avg Cst)	4156.0	3302.0	3349.0
Other	529.0	813.0	931.0
Current Assets	11069.0	11181.0	11150.0
Accts Payable	4028.0	4968.0	4474.0
Debt Due	3000.0	3013.0	3125.0
Other	5175.0	5437.0	5649.0
Current Liab.	12203.0	13418.0	13248.0

ANNUAL RATES of change (per sh)

	Past 10 Yrs.	Past 5 Yrs.	Est'd '92-'94 to '98-'00
Sales	.5%	3.5%	*4.5%*
"Cash Flow"	3.5%	2.0%	*7.0%*
Earnings	2.0%	1.5%	*12.0%*
Dividends	4.5%	7.0%	*4.5%*
Book Value	1.5%	1.0%	*4.5%*

QUARTERLY SALES ($ mill)

Calendar	Mar.31	Jun.30	Sep.30	Dec.31	Full Year
1992	13544	13495	14786	15052	56877
1993	13370	14351	14123	14732	56576
1994	13402	14344	14834	16415	58995
1995	15730	*16000*	*16500*	*16770*	*65000*
1996	*16500*	*16500*	*16500*	*16500*	*66000*

EARNINGS PER SHARE [A]

Calendar	Mar.31	Jun.30	Sep.30	Dec.31	Full Year
1992	.28	.60	1.00	1.25	3.13
1993	1.19	1.41	1.50	.84	4.94
1994	1.31	1.00	1.23	1.28	4.82
1995	1.57	*.85*	*1.55*	*1.53*	*5.50*
1996	*1.75*	*1.75*	*1.75*	*1.75*	*7.00*

QUARTERLY DIVIDENDS PAID [B]

Calendar	Mar.31	Jun.30	Sep.30	Dec.31	Full Year
1991	.725	.80	.80	.80	3.13
1992	.80	.80	.80	.80	3.20
1993	.80	.80	.80	.85	3.25
1994	.85	.85	.85	.85	3.40
1995	.85	.925			

BUSINESS: Mobil Corp. is a one of the largest integrated, international oil & petrochemical companies. Has 19,482 retail outlets. Net prod. '94: oil & nat'l gas liq., 855,000 barrels/day; nat. gas, 4.7 bill. cu. ft./day. Net proved reserves (U.S. is 33% of total): 3.4 bill. bbl. oil; 17.7 trill. cu. ft. gas. Est. pretax present value: $24.3 bill. (12/94) vs. $22.2 bill. (12/93). Est. 5-yr. avg. find. costs worldwide: $3.67/bbl. (vs. indus. avg. $4.96). 5-yr. avg. res. replace. ratio: 103% (vs. indus. avg. 124%). Daily product sales: 3.1 mill. bbls.; refinery runs: 2.1 mill. bbls. Has 211,100 stkhldrs; employs 61,900. Officers and Directors own less than 1% of stk (3/95 proxy). Chairman, President, & C.E.O.: Lucio A. Noto. Inc.: Delaware. Address: 3225 Gallows Rd., Fairfax, VA 22037. Tel.: 703-846-3000.

Mobil is setting its sights on the world's largest market for auto lubricants and gasoline ... That's in the U.S., where the company's motor oil appears to be the brand most widely used. Lately, Mobil has included a performance guarantee on its new packaging, which should attract more customers. As a result, we expect retail domestic motor oil sales to rise 10% in '95, on top of a 15% gain in '94. Gasoline market share is also rising. It's now 18% of total U.S. sales, up from 15% at the start of the decade. We figure Mobil may command 20% of the domestic gasoline market in 3 to 5 years by targeting key metropolitan areas.

... while expanding into markets with above-average growth rates. About 30% of refining capacity is now in the fast-growing Pacific Rim, which is probably more than any main competitor's. Latin America is another major area of expansion. Newly privatized markets there offer good prospects for petroleum product sales. In fact, our projections for share earnings gains of over 10% annually out to 1998-2000 are based largely on the movement into developing regions overseas.

Currently, the strength in chemicals seems to be leveling off. To be sure, these operations are still much more profitable than in recent years. But margins may contract a bit for the balance of '95 in conjunction with a slowing economy. If the pace of business activity picks up in '96, as we expect, margin growth should resume.

Mobil has been cutting costs aggressively. Staff reductions totalling 4,700 people have been announced to be completed by the end of the first quarter of '96. Mobil plans to charge earnings about 75¢ a share in the second quarter to provide for the move. We include the charge in our estimates, since future benefits will result. In all, we figure the restructuring will push up earnings by $1.50 a share annually when fully implemented next year.

We've raised the stock's target price range. Still, appreciation potential out to 1998-2000 is modest. But combined with dividend income, the 3- to 5-year total return potential of this top-quality issue might still appeal to those investors who value a High Safety rank. For the year ahead, Mobil stock is ranked Average.

Robert Mitkowski, Jr. *June 30, 1995*

(A) Primary egs. Excl. extra. gain: '80, $2.16. Excl. discontined operations: '88, 14¢. Excl. nonrec. gains (charges): '84, (27¢); '85, ($1.41); '86, (14¢); '88, 39¢; '89, 13¢; '90, 2¢; '92, ($1.12); '93, 13¢; '94, ($2.25). Next earnings report due late July.
(B) Next div'd meeting about July 28. Next ex date about Aug. 2nd. Approx. dividend payment dates: March 10, June 10, Sep. 10, Dec. 10. ■Div'd reinvestment plan available.
(C) In millions.

Company's Financial Strength	A+
Stock's Price Stability	95
Price Growth Persistence	85
Earnings Predictability	55

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STANDARD & POOR'S
STOCK REPORTS

Exxon Co.

NYSE Symbol **XON**
In S&P 500

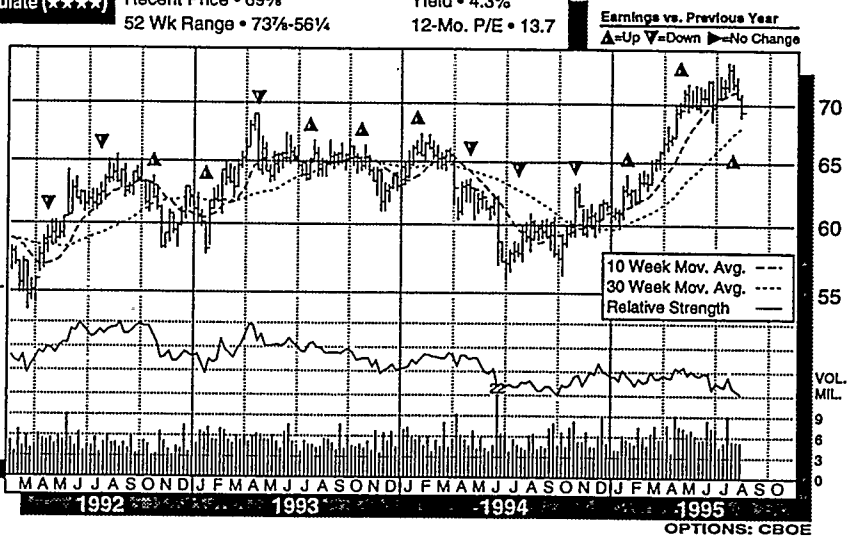
15-AUG-95 **Industry:** Oil and Gas

Summary: Exxon is a major factor in the world crude oil, natural gas and chemical industries.

S&P Opinion: Accumulate (★★★★) | Recent Price • 69⅜ | Yield • 4.3%
52 Wk Range • 73⅞-56¼ | 12-Mo. P/E • 13.7

Quantitative Evaluations
Outlook (1 Lowest—5 Highest)
• 2+
Fair Value
• 64⅛
Risk
• Low
Earn./Div. Rank
• B+

Technical Eval.
• Bearish since 4/95
Rel. Strength Rank (1 Lowest—99 Highest)
• 28
Insider Activity
• Neutral


Earnings vs. Previous Year
▲=Up ▼=Down ▶=No Change
10 Week Mov. Avg.
30 Week Mov. Avg.
Relative Strength
70
65
60
55
VOL. MIL.
9
6
3
0
M A M J J A S O N D J F M A M J J A S O N D J F M A M J J A S O N D J F M A M J J A S O
1992
1993
1994
1995

OPTIONS: CBOE

Overview - 15-AUG-95

An Alaskan court may decide to force the company to post a bond for damages related to the 1989 grounding of the Exxon Valdez. XON will appeal the September 1994 $5.0 billion punitive damage verdict and the August 1994 $286 million compensatory damage verdict, arising out of the Valdez grounding. However, a negative decision in an appeal would have little impact on long-term earnings power. Exxon will continue to benefit from the global need for external capital to develop oil and gas reserves. With a substantial asset base, Exxon is positioned to exploit growth opportunities worldwide and has adopted an aggressive capital spending budget for 1995. Debt service is modest while internal cash generation will exceed the capital expenditure program. The chemical segment will likely continue to post strong results through 1995.

Valuation - 15-AUG-95

Investors are focusing on the company's excellent long-term earnings power, propelling the shares upward in 1995. Oil prices are expected to remain stable at $18 through 1995, rising to $19 in 1996, and we forecast continued strength in chemical earnings. While natural gas fundamentals do not make us optimistic about prices, we believe growth in international volumes justifies a higher stock price. Refining margins in the U.S. should improve in the second half of 1995, boosting the shares further. The shares sell at a discount to industry competitors on an earnings and cash-flow basis and are recommended for above average capital appreciation and income.

Key Stock Statistics

S&P EPS Est. 1995	4.60	Tang. Bk. Value/Share	28.76
P/E on S&P Est. 1995	15.1	Beta	0.58
S&P EPS Est. 1996	5.00	Shareholders	606,600
Dividend Rate/Share	3.00	Market cap. (B)	$ 86.8
Shs. outstg. (M)	1242.2	Inst. holdings	42%
Avg. daily vol. (M)	1.210	Insider holdings	NA

Value of $10,000 invested 5 years ago: $ 17,964

Fiscal Year Ending Dec. 31

	1995	% Change	1994	% Change	1993	% Change
Revenues ()						
1Q	31,667	24%	25,624	-5%	26,900	-2%
2Q	—	—	27,102	-2%	27,600	NM
3Q	—	—	29,237	7%	27,400	-10%
4Q	—	—	30,165	9%	27,700	-9%
Yr.	—	—	112,128	2%	109,500	-5%
Income ()						
1Q	1,660	43%	1,160	-2%	1,185	-11%
2Q	1,630	84%	885.0	-28%	1,235	33%
3Q	—	—	1,155	-15%	1,360	21%
4Q	—	—	1,900	27%	1,500	7%
Yr.	—	—	5,100	-3%	5,280	10%
Earnings Per Share ()						
1Q	1.33	45%	0.92	-2%	0.94	-11%
2Q	1.30	86%	0.70	-29%	0.98	34%
3Q	E1.14	24%	0.92	-16%	1.09	20%
4Q	E0.83	-46%	1.53	28%	1.20	7%
Yr.	E4.60	13%	4.07	-3%	4.21	10%

Next earnings report expected: late October

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Business Summary - 11-AUG-95

Exxon and the Royal Dutch/Shell Group are generally regarded as the two leading factors in the world petroleum industry. XON also has a major presence in chemicals, coal and minerals.

Profits	1994	1993
U.S. exploration/production	15%	16%
U.S. refining & marketing	5%	8%
Foreign expl. & prod.	35%	40%
Foreign refin. & mktg.	21%	26%
U.S. chemical	8%	5%
Foreign chemical	9%	3%
Coal & other	7%	2%

Net crude oil and natural gas liquids production in 1994 averaged 1,709,000 bbl. a day, of which 33% was from the U.S. Record output from the North Sea boosted 1994 production by 2.5%. Natural gas available for sale was 5,978 million cubic feet a day (34% U.S.). Refinery runs were 3,412,000 b/d in 1994 (27% U.S.), and petroleum product sales amounted to 5,028,000 b/d (24% U.S.).

Net proved reserves at the end of 1994 stood at 6,148 million bbl. of crude oil (6,250 million bbl. at 1993 year end) and 42,228 Bcf of natural gas (42,251 Bcf). Capital and exploration expenditures for 1994 were $7.8 billion, of which $4.0 billion was used for exploration and production, down 12% from the 1993 level. In 1995, Exxon's capital budget will exceed the 1994 level.

Exxon seeks to capitalize on fast-growing demand in the Asia-Pacific region, where the market for liquid natural gas (LNG) is projected to double by 2010. The multi-billion dollar Natuna LNG project typifies this strategy. Downstream efforts in the Asia-Pacific market will focus on refinery expansions and upgrades, which are planned for Thailand's Sriracha refinery, as well as a refinery in Singapore. The company is also aggressively pursuing exploration opportunities in China and Russia.

Important Developments

Jul. '95—Results for 1995's second quarter were sharply improved, with net income amounting to $1,630 million ($1.30 per share), versus $885 million ($0.70) in the prior year period. Chemical profits tripled, and average oil prices were sharply higher, offsetting low relative refining margins. Dismal refining margins during the first quarter were caused by the introduction of reformulated gasoline in the U.S. and a warm winter, which drove refining margins for gasoline and distillates to 7-year lows. Higher gas and petroleum product sales offset the impact of sharply lower natural gas prices and reduced gasoline sales in Europe.

Capitalization

Long Term Debt: $9,178,000,000 (3/95).
ESOP Conv. Preferred Stock: $613,000,000.

Per Share Data () (Year Ended Dec. 31)

	1994	1993	1992	1991	1990	1989
Tangible Bk. Val.	29.68	28.05	27.23	28.16	26.52	24.18
Cash Flow	8.11	8.04	7.89	8.42	8.36	6.26
Earnings	4.07	4.21	3.82	4.45	3.96	2.32
Dividends	2.91	2.88	2.83	2.68	2.47	2.30
Payout Ratio	71%	68%	74%	60%	62%	99%
Prices - High	67⅞	69	65½	61⅞	55⅛	51⅞
- Low	56⅛	57¾	53¾	49⅝	44⅞	40½
P/E Ratio - High	17	16	17	14	14	22
- Low	14	14	14	11	11	17

Income Statement Analysis ()

	1994	%Chg	1993	%Chg	1992	%Chg	1991
Revs.	99,683	2%	97,825	-5%	103,160	NM	102,847
Oper. Inc.	11,942	-1%	12,063	1%	11,928	-8%	13,006
Depr.	5,015	5%	4,759	-6%	5,044	2%	4,935
Int. Exp.	1,178	12%	1,055	-8%	1,148	NM	1,141
Pretax Inc.	8,037	-3%	8,302	10%	7,534	-13%	8,685
Eff. Tax Rate	34%	—	33%	—	33%	—	34%
Net Inc.	5,100	-3%	5,280	10%	4,810	-14%	5,600

Balance Sheet & Other Fin. Data ()

	1994	1993	1992	1991	1990	1989
Cash	1,775	1,652	1,515	1,587	1,379	2,016
Curr. Assets	16,460	14,859	16,424	17,012	18,336	16,576
Total Assets	87,862	84,145	85,030	87,560	87,707	83,219
Curr. Liab.	19,493	18,590	19,663	20,854	24,025	21,984
LT Debt	8,831	8,506	8,637	8,582	7,687	9,275
Common Eqty.	36,861	34,840	33,824	34,974	33,025	30,238
Total Cap.	59,849	56,632	56,523	58,925	56,260	54,735
Cap. Exp.	6,643	6,919	7,225	7,262	6,474	12,002
Cash Flow	10,069	9,985	9,793	10,466	10,428	7,909

Ratio Analysis

	1994	1993	1992	1991	1990	1989
Curr. Ratio	0.8	0.8	0.8	0.8	0.8	0.8
% LT Debt of Cap.	14.8	15.0	15.3	14.6	13.7	16.9
% Net Inc.of Revs.	5.1	5.4	4.7	5.4	4.7	3.4
% Ret. on Assets	5.9	6.2	5.6	6.4	5.9	3.8
% Ret. on Equity	14.1	15.2	13.8	16.3	15.6	9.6

Dividend Data —Dividends have been paid since 1882. A dividend reinvestment plan is available.

Amt. of Div. $	Date Decl.	Ex-Div. Date	Stock of Record	Payment Date
0.720	Jul. 27	Aug. 09	Aug. 15	Sep. 10 '94
0.750	Oct. 26	Nov. 07	Nov. 14	Dec. 10 '94
0.750	Jan. 25	Feb. 06	Feb. 10	Mar. 10 '95
0.750	Apr. 26	May. 09	May. 15	Jun. 10 '95
0.750	Jul. 26	Aug. 10	Aug. 14	Sep. 11 '95

Data as orig. reptd.; bef. results of disc. opers. and/or spec. items. Per share data adj. for stk. divs. as of ex-div. date. Revs. in Income Statement Analysis tbl. excl. excise taxes. E-Estimated. NA-Not Available. NM-Not Meaningful. NR-Not Ranked.

Office—225 East John W. Carpenter Freeway, Irving, TX 75062-2298. Tel—(214) 444-1000. Chrmn & CEO—L. R. Raymond. Secy & VP-Investor Relations—T. P. Townsend. VP & Treas—E. A. Robinson. Dirs—R. W. Bromery, D. W. Calloway, J. Hay, J. R. Houghton, W. R. Howell, P. E. Lippincott, M. C. Nelson, L. R. Raymond, C. R. Sitter, J. H. Steele, R. E. Wilhelm, J. D. Williams. Transfer Agent—Bank of Boston. Incorporated in New Jersey in 1882. Empl-91,000. S&P Analyst: Raymond J. Deacon

STANDARD & POOR'S

STOCK REPORTS

Amoco Corp.

189M
NYSE Symbol **AN**
In S&P 500

20-JUL-95 **Industry:** Oil and Gas

Summary: Amoco is a major integrated petroleum and chemicals company.

S&P Opinion: Hold (★★★)

Recent Price • 68½ | Yield • 3.6%
52 Wk Range • 69¾-56⅜ | 12-Mo. P/E • 17.8

Quantitative Evaluations

Outlook (1 Lowest—5 Highest)
• 2+

Fair Value
• 63½

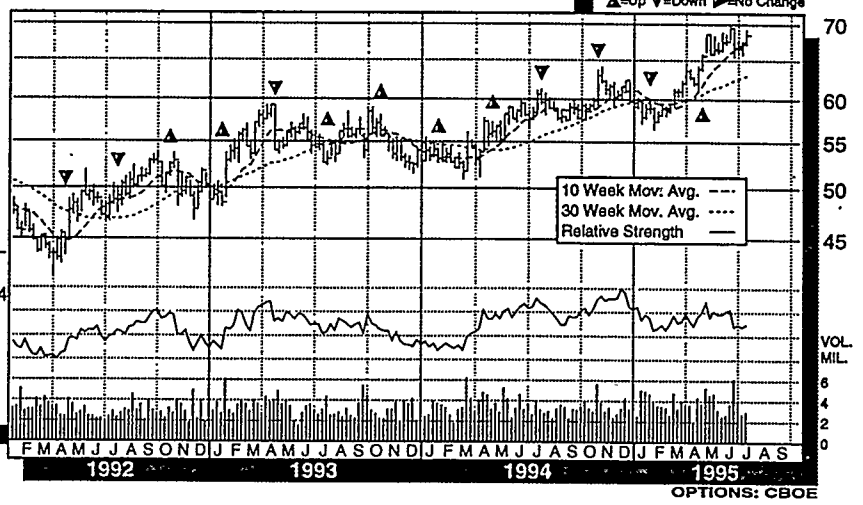
Risk
• Low

Earn./Div. Rank
• B

Technical Eval.
• Bearish since 11/94

Rel. Strength Rank (1 Lowest—99 Highest)
• 48

Insider Activity
• Neutral



OPTIONS: CBOE

Overview - 07-JUL-95

Profits in 1995 will climb in spite of restructuring charges, thanks to thriving chemicals earnings. The company has completed a majority of the work involved in its restructuring, and we believe the company will improve the profitability of its divisions, as a result. Expansion within chemicals segment operations should drive higher earnings in 1995, and stable oil prices will allow margins to remain stable in this business. Upstream earning should benefit from gradual improvement in natural gas prices that are forecasted through 1997. In the downstream, we are optimistic about margins, since we believe demand over the next several months will exceed expectations, while industry capacity should continue to run at high levels both in the U.S. and on a worldwide basis. Exploration and development in Alberta should boost earnings in 1995 and 1996.

Valuation - 07-JUL-95

The shares are not expected to outperform the market for the remainder of 1995. The dividend should keep the shares from falling in the near term, however. As long as stable oil and natural gas prices, and the currently strong chemicals cycle continue to provide robust cash flow to support exploration activities, and chemicals segment expansion, the shares should trade within the current range. We remain more optimistic about prospects for other players in this group, who have proven their success at reducing finding and extraction costs on barrel of oil equivalent basis.

Key Stock Statistics

S&P EPS Est. 1995	4.05	Tang. Bk. Value/Share	29.47
P/E on S&P Est. 1995	16.9	Beta	0.39
S&P EPS Est. 1996	4.60	Shareholders	134,800
Dividend Rate/Share	2.40	Market cap. (B)	$ 33.5
Shs. outstg. (M)	496.5	Inst. holdings	62%
Avg. daily vol. (M)	0.853	Insider holdings	NA

Value of $10,000 invested 5 years ago: $ 15,638

Fiscal Year Ending Dec. 31

	1995	% Change	1994	% Change	1993	% Change
Revenues (Million $)						
1Q	6,756	15%	5,861	-6%	6,233	-1%
2Q	—	—	6,600	2%	6,486	-2%
3Q	—	—	6,760	6%	6,374	-11%
4Q	—	—	5,255	-16%	6,243	-13%
Yr.	—	—	26,048	3%	25,336	-10%
Income (Million $)						
1Q	523.0	31%	398.0	74%	229.0	-25%
2Q	—	—	410.0	-16%	487.0	NM
3Q	—	—	445.0	-14%	520.0	5%
4Q	—	—	536.0	-8%	584.0	7%
Yr.	—	—	1,789	-2%	1,820	114%
Earnings Per Share ($)						
1Q	1.05	31%	0.80	74%	0.46	-25%
2Q	E0.99	—	0.83	-15%	0.98	NM
3Q	E1.07	—	0.89	-15%	1.05	5%
4Q	E0.94	—	1.08	-8%	1.17	6%
Yr.	E4.05	—	3.60	-2%	3.66	114%

Next earnings report expected: mid August

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Amoco Corp.

Business Summary - 20-JUL-95

Amoco (formerly Standard Oil Co. of Indiana) is a major integrated petroleum and chemical company. A restructuring program was initiated during 1994. Profit contributions by segment in recent years were:

	1994	1993	1992
Exploration & Production	55%	50%	70%
Ref., mkt., & trans.	21%	40%	40%
Chemicals	24%	10%	-10%

Net production of crude oil and natural gas liquids in 1994 averaged 668,000 bbl. a day (678,000 in 1993) and net production of natural gas 4.2 Bcf a day (4.1). Refinery product sales were 1,361,000 b/d (1,312,000 b/d), of which the U.S. represented 86% and Canada 13%. U.S. gasoline sales accounted for 45% of total sales, distillate products for 27%, and other 14%.

Net proved reserves at the end of 1994 were 1,696 million bbl. of crude oil, 509 million bbl. of natural gas liquids, and 18,521 Bcf of natural gas.

The company expects to incur approximatley $200 million in after-tax restructuring costs in addition to the $256 million it accrued in the second quarter of 1994. These costs are intended primarily for system redesign, relocations, work force consolidation and process redevelopment.

In 1995, AN's capital and exploration expenditures will be some $4.2 billion, up from $3.2 billion spent in 1994.

Important Developments

Jun. '95—Amoco announced it would offer to purchase all 45.9 million shares of Home Oil (ASE: HO) for $16.50 a share. Amoco plans to integrate HO's Canadian assets into its current Canadian operations. Also in June, Amoco said it would spend $100 million (of a planned $500 million) on development of heavy oil reserves in Alberta, Canada during 1995. Amoco hopes to increase production from the current 7,500 barrels per day to 55,000 barrels per day. More than 100 wells are planned by the end of 1996 in the Primrose Lake area, while steam injection and horizontal drilling will be the main focus of work in the Wolf Lake area.

Apr. '95—Amoco's first quarter results showed strength in chemicals segment earnings, which rose to $233 million, up from $88 million. Commodity chemicals and PTA, a raw material used in polyester manufacturing were especially profitable products in the quarter. The 1995 quarter included approximately $25 million in ongoing restucturing costs tied to cost reduction efforts.

Capitalization

Long Term Debt: $4,220,000,000 (3/95).
Minority Interest: $14,000,000.

Per Share Data ($) (Year Ended Dec. 31)

	1994	1993	1992	1991	1990	1989
Tangible Bk. Val.	28.97	27.53	26.11	28.52	28.03	26.75
Cash Flow	8.11	8.08	6.63	6.84	8.53	7.97
Earnings	3.60	3.66	1.71	2.36	3.77	3.12
Dividends	2.20	2.20	2.20	2.20	2.04	1.90
Payout Ratio	61%	60%	129%	93%	54%	60%
Prices - High	64⅛	59¼	53¾	55	60⅞	55¾
- Low	50⅞	48⅛	41¾	45⅝	49¼	36¾
P/E Ratio - High	18	16	31	23	16	18
- Low	14	13	24	19	13	12

Income Statement Analysis (Million $)

	1994	%Chg	1993	%Chg	1992	%Chg	1991
Revs.	26,048	3%	25,336	NM	25,280	NM	25,325
Oper. Inc.	4,143	-9%	4,568	31%	3,489	-22%	4,454
Depr.	2,239	2%	2,193	-10%	2,440	9%	2,239
Int. Exp.	318	-6%	338	27%	266	-49%	520
Pretax Inc.	2,491	NM	2,507	150%	1,003	-51%	2,035
Eff. Tax Rate	28%	—	27%	—	15%	—	42%
Net Inc.	1,789	-2%	1,820	114%	850	-28%	1,173

Balance Sheet & Other Fin. Data (Million $)

	1994	1993	1992	1991	1990	1989
Cash	1,789	1,217	1,288	1,583	2,399	1,180
Curr. Assets	6,642	6,094	5,795	6,393	8,216	6,428
Total Assets	29,316	28,486	28,453	30,510	32,209	30,430
Curr. Liab.	5,024	5,343	4,985	6,557	6,799	5,888
LT Debt	4,387	4,037	5,113	4,596	5,249	5,658
Common Eqty.	14,382	13,665	12,960	14,156	14,068	13,684
Total Cap.	21,745	20,718	21,035	22,714	24,047	23,749
Cap. Exp.	2,572	2,817	2,334	3,141	3,021	2,643
Cash Flow	4,028	4,013	3,290	3,412	4,326	4,110

Ratio Analysis

	1994	1993	1992	1991	1990	1989
Curr. Ratio	1.3	1.1	1.2	1.0	1.2	1.1
% LT Debt of Cap.	20.2	19.5	24.3	20.2	21.8	23.8
% Net Inc.of Revs.	6.9	7.2	3.4	4.6	6.8	6.7
% Ret. on Assets	6.2	6.4	2.9	3.8	6.2	5.4
% Ret. on Equity	12.8	13.7	6.3	8.4	13.9	12.0

Dividend Data (Dividends have been paid since 1894. A dividend reinvestment plan is available.)

Amt. of Div. $	Date Decl.	Ex-Div. Date	Stock of Record	Payment Date
0.550	Jul. 26	Aug. 04	Aug. 10	Sep. 10 '94
0.550	Oct. 25	Nov. 03	Nov. 09	Dec. 10 '94
0.600	Jan. 24	Feb. 02	Feb. 08	Mar. 10 '95
0.600	Apr. 25	May. 04	May. 10	Jun. 10 '95

Data as orig. reptd.; bef. results of disc. opers. and/or spec. items. Per share data adj. for stk. divs. as of ex-div. date. E-Estimated. NA-Not Available. NM-Not Meaningful. NR-Not Ranked.

Office—200 East Randolph Drive, Chicago, IL 60601. **Tel**—(312) 856-6111. **Chrmn, Pres & CEO**—H. L. Fuller. **EVP & CFO**—J. L. Carl. **Secy**—Patricia A. Brandin. **Investor Contact**—C. K. Koepke. **Dirs**—F. S. Addy, D. R. Beall, R. S. Block, J. H. Bryan, E. B. Davis Jr., P. J. Early, R. J. Ferris, H. L. Fuller, R. H. Malott, F. A. Maljers, W. E. Massey, M. R. Seger, L. D. Thomas, M. H. Wilson, R. D. Wood. **Transfer Agents & Registrars**—First Chicago Trust Co. of New York, NYC; R-M Trust Co., Toronto. **Incorporated** in Indiana in 1889. **Empl**- 43,205. **S&P Analyst:** Raymond J. Deacon

FD-36 (Rev. 8-29-85)

FBI

TRANSMIT VIA:
- [X] Teletype
- [ ] Facsimile
- [ ] AIRTEL

PRECEDENCE:
- [ ] Immediate
- [ ] Priority
- [X] Routine

CLASSIFICATION:
- [ ] TOP SECRET
- [ ] SECRET
- [ ] CONFIDENTIAL
- [ ] UNCLAS E F T O
- [X] UNCLAS

Date 9/25/95

FM FBI WMFO (58A-WF-200802) ~~(P)~~ (C-20)

TO DIRECTOR FBI/ROUTINE/

BT

UNCLAS

CITE: //3920//

PASS: PUBLIC CORRUPTION UNIT, CRIMINAL DIVISION.

SUBJECT: POSSIBLE CONFLICTS OF INTEREST BY [redacted] [redacted] AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY; CFPO - EXECUTIVE; OO: WMFO. b6 b7C

RE BUREAU TELETYPE TO WMFO, DATED 9/7/95; AND TEL CALL BETWEEN UNIT CHIEF [redacted] AND SA [redacted] DATED 9/21/95.

FOR INFORMATION OF THE BUREAU, REFERENCED TELETYPE REPORTED THAT WHITE HOUSE COUNSEL HAD REFERRED TO DOJ ALLEGATIONS OF POSSIBLE CONFLICTS OF INTEREST, VIOLATION OF T.

58A-WF-200802-6

SEARCHED [ ] INDEXED [ ]
SERIALIZED [ ] FILED [ ]

b6 b7C

Approved: [redacted] **Original filename:** SEP 1995

Time Received: _____ **Telprep filename:** [redacted] 002w.268

MRI/JULIAN DATE: _____ **ISN:** _____

FOX DATE & TIME OF ACCEPTANCE: _____

18, U.S.C., SECTION 208. THESE ALLEGATIONS INVOLVE [redacted] b6 b7C

[redacted] AND SAMUEL BERGER,

DEPUTY ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY.

POSSIBLE CONFLICT OF INTEREST MAY HAVE OCCURRED WHEN THESE TWO OFFICIALS AND/OR FAMILY MEMBERS FAILED TO DIVEST THEMSELVES OF ENERGY OR OIL STOCK HELD BY BOTH OFFICIALS IN AMOCO, EXXON AND MOBIL CORPORATIONS. PRIOR TO DIVESTITURE DURING SUMMER, 1995, EACH OFFICIAL MAY HAVE PARTICIPATED IN CERTAIN FOREIGN POLICY DELIBERATIONS ON "PARTICULAR MATTERS" THAT COULD HAVE AFFECTED THE VALUE OF STOCKS.

WMFO INVESTIGATION TO DATE REVEALS THAT AMOCO, EXXON AND MOBIL STOCK INCREASED IN VALUE BEGINNING IN THE SUMMER OF 1994 AND CONTINUED TO INCREASE IN 1995.

AN INTERVIEW OF [redacted]

[redacted] DETERMINED THAT BOTH [redacted] AND BERGER b6 b7C

WERE ADVISED IN 1993 TO DIVEST THEMSELVES OF ENERGY STOCKS AS A "PROPHYLACTIC" MEASURE. [redacted] ADVISED THE "PETROLEUM" INTERESTS WERE A CONCERN TO ATTORNEYS ASSIGNED TO REVIEW THE FINANCIAL DISCLOSURE FORMS. CERTIFICATES OF DIVESTITURE WERE REQUESTED AND OBTAINED FROM THE OFFICE OF GOVERNMENT ETHICS

(OGE) IN LATE 1993. HOWEVER, [redacted] ADVISED THAT APPARENTLY [redacted] AND BERGER DID NOT UNDERSTAND THE CONFLICT OF INTEREST LAWS UNTIL 1995, WHEN IT WAS DETERMINED THAT THEY HAD STILL NOT DIVESTED, AND [redacted] PERSONALLY MET WITH EACH OFFICIAL.

b6
b7C

PUBLIC INTEGRITY SECTION TRIAL ATTORNEY SUSAN J. PARK HAS REQUESTED THAT SEVERAL WHITE HOUSE OFFICIALS BE INTERVIEWED CONCERNING THIS MATTER. [redacted] IS SCHEDULED TO BE INTERVIEWED AT THE WHITE HOUSE AT 2:45 P.M., WEDNESDAY, 9/27/95.

INVESTIGATION CONTINUING AT WMFO.

BT

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FM FBI WMFO (58A-WF-200802) (C) (C-20)

TO DIRECTOR FBI/ROUTINE/

3T

UNCLAS

CITE: //3920//

PASS: PUBLIC CORRUPTION UNIT, CRIMINAL DIVISION.

SUBJECT: POSSIBLE CONFLICTS OF INTEREST BY [redacted] AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY; CFPO - EXECUTIVE; OO: WMFO.

b6
b7C

RE BUREAU TELETYPE TO WMFO, DATED 9/7/95; AND TEL CALL BETWEEN UNIT CHIEF [redacted] AND SA [redacted] DATED 9/21/95.

FOR INFORMATION OF THE BUREAU, REFERENCED TELETYPE REPORTED THAT WHITE HOUSE COUNSEL HAD REFERRED TO DOJ

58A-WF-200802
6

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED FILED

b6
b7C

SEP _ 1995

ALLEGATIONS OF POSSIBLE CONFLICTS OF INTEREST, VIOLATION OF T. 18, U.S.C., SECTION 208. THESE ALLEGATIONS INVOLVE [redacted] b6 b7C [redacted] AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY. POSSIBLE CONFLICT OF INTEREST MAY HAVE OCCURRED WHEN THESE TWO OFFICIALS AND/OR FAMILY MEMBERS FAILED TO DIVEST THEMSELVES OF ENERGY OR OIL STOCK HELD BY BOTH OFFICIALS IN AMOCO, EXXON AND MOBIL CORPORATIONS. PRIOR TO DIVESTITURE DURING SUMMER, 1995, EACH OFFICIAL MAY HAVE PARTICIPATED IN CERTAIN FOREIGN POLICY DELIBERATIONS ON 'PARTICULAR MATTERS" THAT COULD HAVE AFFECTED THE VALUE OF STOCKS.

WMFO INVESTIGATION TO DATE REVEALS THAT AMOCO, EXXON AND MOBIL STOCK INCREASED IN VALUE BEGINNING IN THE SUMMER OF 1994 AND CONTINUED TO INCREASE IN 1995.

AN INTERVIEW OF [redacted] b6 b7C [redacted] DETERMINED THAT BOTH [redacted] AND BERGER WERE ADVISED IN 1993 TO DIVEST THEMSELVES OF ENERGY STOCKS AS A "PROPHYLACTIC" MEASURE. [redacted] ADVISED THE "PETROLEUM" INTERESTS WERE A CONCERN TO ATTORNEYS ASSIGNED TO REVIEW THE FINANCIAL DISCLOSURE FORMS. CERTIFICATES OF DIVESTITURE WERE REQUESTED AND OBTAINED FROM THE OFFICE OF GOVERNMENT ETHICS

(OGE) IN LATE 1993. HOWEVER, [redacted]

[redacted] ADVISED THAT

APPARENTLY [redacted] AND BERGER DID NOT UNDERSTAND THE CONFLICT OF INTEREST LAWS UNTIL 1995, WHEN IT WAS DETERMINED THAT THEY HAD STILL NOT DIVESTED, AND [redacted]

[redacted] PERSONALLY MET WITH EACH OFFICIAL.

PUBLIC INTEGRITY SECTION TRIAL ATTORNEY SUSAN J. PARK HAS REQUESTED THAT SEVERAL WHITE HOUSE OFFICIALS BE INTERVIEWED CONCERNING THIS MATTER. [redacted] IS SCHEDULED TO BE INTERVIEWED AT THE WHITE HOUSE AT 2:45 P.M., WEDNESDAY, 9/27/95.

INVESTIGATION CONTINUING AT WMFO.

BT

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Public Corruption Unit
Public Corruption/Civil Rights Section
Criminal Investigative Division
FBIHQ

☎ Number: (202) 324-5701
Fax Number: (202) 324-2043

Date: 9/28/95

Precedence: Routine Priority Imme:

To: SSA [redacted]

From: [redacted]

b6
b7C

Subject: [redacted]
SAMUEL Berger

Number of pages including the cover page: 2

Originator: _____

58A-WF-200802

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SEP 28 1995
FBI — WASH. METRO FIELD OFFICE
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b7C

SEP-27-1995 14:35 FROM TO 8202324627 P.01

TOTAL P.05

DIVISION: WMFO

**TITLE: [redacted] b6 b7C
SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY;
CORRUPTION OF FEDERAL PUBLIC OFFICIAL - EXECUTIVE BRANCH; CONFLICT OF INTEREST

SYNOPSIS: For information, by letter to the Director dated [redacted]/95, the Acting Assistant Attorney General, Criminal Division, [redacted]tment of Justice (DOJ), requested FBI investigative [redacted]stance regarding possible conflicts of interest involving the [redacted]o captioned White House Advisors. S[redacted]an J. Park, Public [redacted]ntegrity Section, DOJ, will direct the prosecutive effort.

Abner Mikva, White House Counsel, referred to DOJ allegations of possible conflict of interest, in violation of Title 18, USC, Section 208, involving [redacted] and Berger. b6 b7C That conflict may have arisen when those two officials and the family of Mr. Berger failed to divest themselves of energy and oil stock held by both in Amoco, Exxon and Mobil Corporations. Further, prior to divestiture, each official may have participated in certain foreign policy deliberations on matters that could have affected the value of these stocks.

RECENT DEVELOPMENTS: On 9/27/95, WMFO interviewed White House Counsel Mikva. Mikva provided the following information:

On or about 5/15/95, [redacted] advised Mikva that after a review of financial disclosure forms submitted by [redacted] and Berger, she had determined that neither individual had divested themselves of their financial interests in Amoco, Exxon and Mobil Oil Corporations. [redacted] advised Mikva that both individuals had been instructed to make such divestiture in 1993. b6 b7C

Immediately thereafter, Mikva met individually with [redacted] and Berger and warned them of the possible criminal implications of the fact that they had not divested themselves of these stocks as they had advised in 1993. Thereafter, in latter May 1995, [redacted] and Berger effected the divestiture.

As for a possible conflict of interest, Mikva knows that the Amoco Oil Company was involved in oil negotiations involving the Middle East in 1994 and that Amoco had requested White House assistance in these negotiations with certain Middle Eastern countries. In their capacities as National Security Advisors to the President, therein would lie the conflict of interest for [redacted] and Berger.

In June 1995, Mikva asked [redacted] if his warning advisory to [redacted] and Berger and their subsequent divestiture of their stocks was sufficient. [redacted] advised Mikva that, in her opinion, the matter must be referred to DOJ. b6 b7C

APR-23-1900 14:35 FROM TO 8202324627 P.02

FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 10/2/95

[redacted] Office of Government Ethics (OGE), work telephone [redacted] was interviewed by a Special Agent (SA) of the FEDERAL BUREAU OF INVESTIGATION (FBI). Also present was Trial Attorney SUSAN PARK from the Public Integrity Section (PIS) of the United States Department of Justice (USDOJ). The interview was conducted in the offices of the United States OGE located at 1201 New York Avenue, Northwest, Suite 500, Washington, D.C. 20005-3917. [redacted] was advised he was being interviewed concerning any knowledge he might have of divestiture certificates issued for certain stocks held by [redacted], and SAMUEL BERGER, Deputy Assistant to the President for National Security. b6 b7C

[redacted] b5 b6 b7C

Investigation on 9/26/95 at Washington, D.C.

File # WMFO 58A-WF-200802 b6 b7C

by [redacted] Date dictated 9/29/95

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FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 10/2/95

ABNER J. MIKVA, Date of Birth (DOB) January 21, 1926, current home address 442 New Jersey Avenue, SE, Washington, D.C., home telephone (202) 543-9360, work telephone (202) 456-2632 was interviewed by a Special Agent (SA) of the FEDERAL BUREAU OF INVESTIGATION (FBI). Judge MIKVA verified he is currently the Counsel to the President of the United States. The interview was conducted in the presence of Trial Attorney SUSAN PARK of the United States Department of Justice (USDOJ), Public Integrity Section (PIS). Also present during the interview was [redacted] Associate Counsel to the President. The interview was conducted in Judge MIKVA's office located in the West Wing of the White House. Judge MIKVA was advised he was being interviewed concerning [redacted] b5 b6 b7C

[redacted]

Investigation on 9/27/95 at Washington, D.C.

File # WMFO 58A-WF-200802

by SA [redacted] III:jfw Date dictated 9/29/95 b6 b7C

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FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 9/25/95

[redacted] Date of Birth (DOB) [redacted] Social Security Account Number (SSAN) [redacted] current home address [redacted] Washington, D.C. 20008, home telephone [redacted] work telephone number [redacted] was interviewed by a Special Agent (SA) of the FEDERAL BUREAU OF INVESTIGATION (FBI) concerning any recommendations, advice and suggestions she may have provided [redacted] and SAMUEL BERGER, Deputy Assistant to the President for National Security. The interview was conducted in the presence of Trial Attorney SUSAN PARK in the offices of the Public Integrity Section (PIS) of the U. S. Department of Justice (USDOJ) located in the Bond Building at 14th & New York Avenue, Washington, D.C.

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[redacted]

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Investigation on 9/21/95 at Washington, D.C.

File # WMFO 58A-WF-200802

by SA [redacted] Date dictated 9/21/95

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b7C

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(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 11/03/1995

To: Director FBI **Attn:** Public Corruption Unit,
SSA [redacted]

From: ADIC, WFO
C-20 NVMRA
Contact: SA [redacted] (202) 324-9115

Approved By: [redacted] b6 b7C

Drafted By: [redacted]

File Number(s): 58A-WF-200802

Title: POSSIBLE CONFLICTS OF INTEREST BY [redacted]
AND SAMUEL BERGER,
DEPUTY ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY;
CFPO-EXECUTIVE;
OO:WFO

Synopsis: Case status update.

Details: Captioned investigation was predicated on a letter to the Director dated 9/1/95, from the Acting Assistant Attorney General, Criminal Division, U.S. Department of Justice (DOJ), requesting FBI investigative assistance regarding possible conflicts of interest involving captioned White House Advisors.

Judge ABNER MIKVA, White House Counsel, referred to DOJ allegations of possible conflict of interest, in violation of Title 18, USC, Section 208, involving [redacted] and BERGER. That conflict may have arisen when both officials and family members failed to divest themselves of energy and oil stocks held by both in AMOCO, EXXON, and MOBIL Corporations, DUKE POWER and PUTNAM ENERGY. Further, prior to divestiture, each official may have participated in certain foreign policy deliberations on matters that could have affected the value of these stocks. b6 b7C

2- FBIHQ
3- WFO
(1-file)

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SEARCHED [redacted] INDEXED [redacted]
SERIALIZED FILED
NOV 0 3 1995
FBI — WASH. METRO FIELD OFFICE
[redacted]

Approved by SAC telephonically 11/3/95

#1003

FEDERAL BUREAU OF INVESTIGATION

To: Director FBI From: ADIC, WMFO
Re: 58A-WF-200802, 11/03/1995

In early 1993, the White House Counsel's Office recommended to [redacted] and BERGER that they should divest themselves of any energy/oil investments as a "prophylactic" measure. Certificates of Divestiture were prepared for [redacted] through contact with the U.S. Office of Government Ethics, W.D.C. A review of financial disclosure statements filed by [redacted] and BERGER in May, 1995, revealed both continued to have investments in petroleum and energy stocks. After White House officials expressed concerns about these holdings, [redacted] and BERGER divested.

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RECENT DEVELOPMENTS

On 11/2/95, an interview of [redacted] was conducted at Public Integrity. [redacted] revealed that because captioned subjects reportedly failed to divest themselves of certain petroleum and energy holdings (e.g. DUKE POWER, EXXON, MOBIL, AMOCO, etc.), a decision was made to refer this matter to the Justice Department. This decision came after several meetings between the White House Counsel's Office and NSC staff. White House officials were concerned that possible conflicts of interest on the part of [redacted] and SAMUEL BERGER would embarrass the administration and that both advisors might be in violation of federal laws.

[redacted] advised that since 1992, [redacted] and BERGER have provided economic and national security advice to the President in the following areas:

a) Expansion of sanctions on Libya because of terrorist involvement in the PAM AM bombing (90% of Libya's income comes from oil exports);

b) Iraq (both advisors have been involved in establishing policy which prevents the sale of Iraqi oil in the international market);

c) Caspian Sea (AMOCO and EXXON are involved in "oil swaps" which occur in this region);

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Independently, WFO and PIS conducted a Lexis-Nexis search and identified additional areas in which [redacted] and BERGER provided advice or expertise. [redacted] verified their involvement when he was asked the following:

1) Alaska (EXXON plays a major role in the exploration, drilling and refining of Alaskan crude oil);

2) Nigeria (U.S. assets in Nigeria total $4 billion and multilateral oil embargo measures were contemplated to force the government to change to civilian rule)

3) Iran (CONOCO OIL was prevented from any further exploration of petroleum in Iran because of a CLINTON Executive Order);

4) North Korea (this nation imports significant quantities of foreign oil);

5) Vietnam (MOBIL Corporation is now exploring for oil off the Vietnamese coast);

6) Ukraine (reportedly an oil rich region)

[redacted] revealed he would make NSC files available for review during the week of 11/5/95. He will also review all E mail notices sent to the NSC concerning above captioned matter.

[redacted] also advised [redacted] and BERGER are fully aware of this investigation and have indicated they will make themselves available for interview. Both officials are prepared to answer questions concerning their financial holdings and their alleged failure to divest. b6 b7C

WFO and PIS believe additional interviews of NSC personnel should be conducted regarding "particular matters" [redacted] and BERGER participated in and NSC deliberation files should be thoroughly reviewed before [redacted] and BERGER are interviewed. PIS has also requested that WFO determine the value of each of these holdings during certain key periods from 1993 to 1995.

Investigation continuing at WMFO.

♦♦

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 11/08/1995

To: DIRECTOR FBI **Attn:** PUBLIC CORRUPTION UNIT
SSA [redacted]

From: ADIC WFO
C-20 NVRA
Contact: SA [redacted] (202) 324-9115

Approved By: [redacted] b6 b7C

Drafted By: [redacted]

File Number(s): 58A-WF-200802

Title: POSSIBLE CONFLICTS OF INTEREST BY [redacted]
AND SAMUEL BERGER,
DEPUTY ASSISTANT TO THE PRESIDENT FOR
NATIONAL SECURITY;
CFPO-EXECUTIVE;
OO:WFO

Synopsis: Case status update.

Details: For information, to date, WFO has conducted thirteen interviews and reviewed hundreds of documents concerning captioned investigation.

RECENT DEVELOPMENTS

A WFO interview of [redacted] and Deputy Assistant SAMUEL BERGER, on November 7, 1995, revealed that during 1994, [redacted] and BERGER traveled to approximately 50 different countries and were involved in dozens of policy decisions. [redacted] who was [redacted] advised a critical issue facing the current National Security Council (NSC) has been Caspian Sea Oil Swaps. [redacted] explained that AMOCO Oil Corporation is "a big player" in the Caspian Sea b3 b6 b7C b7E

CC: 2-FBIHQ
3-WFO
1-58A-WF-200802

58A-WF-200802

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
NOV 0 [redacted] 1995
FBI — WASH. METRO FIELD OFFICE [redacted] b6 b7C

#1023

which reportedly has a significant quantity of oil in its basin. According to [redacted] both [redacted] and BERGER have deliberated over and provided advice concerning the appropriate way to distribute these energy resources (i.e. via pipeline through Iran or through Georgia and Turkey). Discussions between BORIS YELTSIN and President CLINTON have included these "talking points."

[redacted] could not explain why [redacted] and BERGER failed to divest themselves of specific oil and energy investments. [redacted] speculated action was not taken on the divestiture requests because these requests were put to the side and were not considered urgent. [redacted] also advised there was not sufficient follow up by the White House Counsel's Office.

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[redacted] does not believe there was any criminal intent on the part of [redacted] or BERGER. [redacted] left his position with the NSC in April, 1995 and now serves as Deputy General Counsel for the U.S. Treasury Department. He was not aware this matter had been referred to the Justice Department.

♦♦

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 11/21/1995

To: DIRECTOR, FBI **Attn:** PUBLIC CORRUPTION UNIT
SSA [redacted]

From: ADIC, WASHINGTON FIELD OFFICE
C-20, NVMRA
Contact: SA [redacted]

Approved By: [redacted] b6 b7C

Drafted By: [redacted]

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: POSSIBLE CONFLICTS OF INTEREST BY [redacted]
[redacted]
AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO - EXECUTIVE;
OO:WFO

Synopsis: Case status update.

Details: RECENT DEVELOPMENTS

For information, a WFO interview of FBI Special Agent [redacted] revealed that [redacted] was [redacted] advised that he dealt with both [redacted] and SAMUEL BERGER during 1993 and frequently attended [redacted] and NSC Deputies meetings with BERGER. [redacted] recalled these meetings often [redacted] b6 b7C b7E

2-FBIHQ
3-WFO
(1-58A-WF-200802)

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SEARCHED [redacted] INDEXED [redacted]
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[redacted]

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(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

To: DIRECTOR, FBI From: ADIC, WASHINGTON FIELD OFFICE
Re: 58A-WF-200802 , 11/21/1995

[redacted] reported [redacted]

[redacted] noted that both [redacted] and BERGER are White House employees who receive advice concerning financial disclosure, etc. from the White House Counsel's Office. The legal advisors assigned to the NSC provide [redacted] and BERGER with technical support only. b6 b7C

[redacted] noted that Deputy Assistant BERGER is viewed by many as very aggressive. BERGER is wealthy and reportedly worked as a lobbyist/attorney for the Japanese Government prior to coming to the NSC. According to [redacted] BERGER was involved in a potential conflict when he first arrived at the NSC. The conflict included the reauthorization of Most Favored Nation (MFN) status for China and at some point, BERGER had provided legal advice to Payless Shoes, a company which annually imports thousands of shoes from China.

[redacted] verified that all NSC documents are closely tracked. He recommended contacting [redacted] the NSC document "guru", for assistance when reviewing NSC files.

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A WFO interview of SAC-NSD [redacted] revealed that [redacted] was not aware that [redacted] and BERGER had failed to divest themselves of certain oil/energy holdings and he was not aware of anything derogatory concerning [redacted] or BERGER.

In addition to the above investigation, WFO has prepared a timeline which sets forth details concerning captioned matter in an organized manner. Copies will be forwarded to FBIHQ. Additional investigation at the White House and NSC by WFO will occur next week.

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 12/07/1995

To: DIRECTOR, FBI **Attn:** PUBLIC CORRUPTION UNIT
SSA [redacted]

From: ADIC, WASHINGTON FIELD OFFICE
C-20 NVMRA (202) 324-9115
Contact: SA [redacted]

Approved By: [redacted] b6 b7C

Drafted By: [redacted]

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: POSSIBLE CONFLICTS OF INTEREST BY [redacted]
AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO-EXECUTIVE;
OO:WFO

Synopsis: Case status update.

Details: **RECENT DEVELOPMENTS**

A WFO interview of [redacted] National Security Council (NSC), revealed [redacted] has been [redacted] He became aware of captioned matter in the Summer of 1995, after he was briefed by NSC Legal Advisor [redacted] and personnel assigned to the White House Counsel's Office.

[redacted] advised that [redacted] and others were concerned and had engaged in several conversations about the necessity of having to refer this matter to the Justice Department. The concern revolved around complex deliberations over oil exploration rights in the Caspian Sea region in which [redacted] and BERGER had been involved. [redacted] recalled there was an NSC Deputies' Committee (D.C.) paper which had detailed the U.S. Government's support for AMOCO and other American oil/energy corporations. [redacted] advised that the NSC D.C. paper stated "our interest was to support U.S. private companies so they could obtain licensing" from the Azerbaijanis. [redacted] further advised that captioned subjects [redacted] and BERGER personally approved this

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2-FBIHQ
1-58A-WF-200802

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SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
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FBI — WASH. METRO FIELD OFFICE
[redacted]

position. It is further noted that during this period the [redacted] continued to maintain its holdings in AMOCO and the [redacted] maintained ownership of EXXON Corporation common stock.

[redacted] recalled [redacted] had made contact with the U.S. Office of Government Ethics (OGE) in order to obtain a legal opinion and the decision was that the Caspian Sea issue did qualify as "a particular matter" with a direct and predictable effect. It was also noted that [redacted] and BERGER were "personally and substantially" involved in these deliberations and the threshold for Title 18, U.S.C., Section 208 had been met.

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Public Integrity Section trial attorneys are currently considering whether or not to present this matter to a Federal Grand Jury in Washington, D.C. PIS has requested that WFO hold off on reviewing any additional documents or NSC offical records until PIS completes its review of Section 208 case law.

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 10/4/95

[redacted] Date of Birth (DOB) [redacted] Social Security Account Number [redacted] current home address [redacted] current home telephone number [redacted] was interviewed by a Special Agent (SA) of the FEDERAL BUREAU OF INVESTIGATION (FBI). Also present was Trial Attorney SUSAN PARK from the Public Integrity Section (PIS) of the United States Department of Justice (USDOJ). The interview was conducted in the office of [redacted] which is located [redacted] in Washington, D.C. [redacted] is the [redacted] was advised she was being interviewed concerning any knowledge she might have of the alleged failure to divest of certain holdings by [redacted] and SAMUEL BERGER, Deputy Assistant to the President for National Security.

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[redacted]

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Investigation on 10/2/95 at Washington, D.C.

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File # WMFO 58A-WF-200802

by [redacted] Date dictated 10/2/95

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FEDERAL BUREAU OF INVESTIGATION

Date of transcription 10/12/95

[redacted] United States Department of Justice (USDOJ), was interviewed by a Special Agent (SA) of the FEDERAL BUREAU OF INVESTIGATION (FBI). Also present was Trial Attorney SUSAN PARK from the Public Integrity Section (PIS) of USDOJ. The interview was conducted in [redacted] office located at [redacted] in downtown Washington, D.C. [redacted] was advised he was being interviewed concerning his work as a [redacted] and his review of a financial disclosure report filed by SAMUEL BERGER, Deputy Assistant to the President for National Security. [redacted] advised the following: b6 b7C

[redacted] b5 b6 b7C

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Investigation on 10/3/95 at Washington, D.C.

File # WMFO 58A-WF-200802

by [redacted] Date dictated 10/3/95 b6 b7C

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FEDERAL BUREAU OF INVESTIGATION

Date of transcription 10/12/95

[redacted] Date of Birth (DOB) [redacted] [redacted] home address [redacted] home telephone number [redacted] work telephone number [redacted] was interviewed by a Special Agent of the FEDERAL BUREAU OF INVESTIGATION (FBI). Also present was Trial Attorney SUSAN PARK of the United States Department of Justice (USDOJ), Public Integrity Section (PIS). The interview was conducted in a conference room located in the Bond Building, 1400 New York Avenue, Washington, D.C. [redacted] was advised she was being interviewed concerning her involvement in a review of a financial disclosure statement filed by SAMUEL BERGER, Deputy Assistant to the President for National Security. b6 b7C

[redacted] b5 b6 b7C

Investigation on 10/5/95 at Washington, D.C.

File # WMFO 58A-WF-200802

b [redacted] Date dictated 10/5/95 b6 b7C

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FEDERAL BUREAU OF INVESTIGATION

Date of transcription 10/17/95

[redacted] Date of Birth (DOB) [redacted] [redacted] home address [redacted] telephone number [redacted] was interviewed by a Special Agent (SA) of the FEDERAL BUREAU OF INVESTIGATION (FBI). Also present was Trial Attorney SUSAN PARK from the Public Integrity Section (PIS) of the United States Department of Justice (DOJ). [redacted] was advised he was being interviewed concerning his work as a [redacted] and his review of financial disclosure reports filed by [redacted] and SAMUEL BERGER, Deputy Assistant to the President for National Security. [redacted] advised the following: b6 b7C

[redacted] b5 b6 b7C

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Investigation on 10/10/95 at Washington, D.C.

File # WMFO 58A-WF-200802

by [redacted] Date dictated 10/10/95 b6 b7C

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FEDERAL BUREAU OF INVESTIGATION

Date of transcription 10/23/95

[redacted] Date of Birth (DOB) [redacted] current address [redacted] current home telephone number [redacted] was interviewed by a Special Agent (SA) of the FEDERAL BUREAU OF INVESTIGATION (FBI). Also present was Trial Attorney SUSAN PARK from the Public Integrity Section (PIS) of the United States Department of Justice (DOJ). [redacted] was advised she was being interviewed concerning her work as [redacted] was also advised she was being interviewed concerning any reviews of financial disclosure reports filed by [redacted] revealed the following:

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[redacted]

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Investigation on 10/11/95 at Washington, D.C.

File # WMFO 58A-WF-200802

by [redacted] Date dictated 10/11/95

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FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 10/23/95

[redacted] Date of Birth (DOB) [redacted] [redacted] Place of Birth (POB) [redacted] current home address [redacted] current home telephone number [redacted] was interviewed by a Special Agent (SA) of the FEDERAL BUREAU OF INVESTIGATION (FBI). Also present was Trial Attorney SUSAN PARK from the Public Integrity Section (PIS) of the United Stated Department of Justice (DOJ). [redacted] was advised he was being interviewed concerning his work as a [redacted] was also advised that he was being interviewed concerning his review of financial disclosure reports filed by [redacted] advised the following:

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[redacted]

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Investigation on 10/18/95 at Washington, D.C.

Fi [redacted] WMFO 58A-WF200802

by [redacted] Date dictated 10/18/95

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b7C

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FEDERAL BUREAU OF INVESTIGATION

Date of transcription 1/23/95

[redacted] Date of Birth (DOB) [redacted] current address [redacted] current home telephone number [redacted] was interviewed by a Special Agent (SA) of the FEDERAL BUREAU OF INVESTIGATION (FBI). Also present was Trial Attorney SUSAN PARK from the Public Integrity Section (PIS) of the U.S. Department of Justice (DOJ). [redacted] was advised she was being interviewed concerning her work as [redacted] and her review of financial disclosure reports filed by [redacted] advised the following: b6 b7C

[redacted] b5 b6 b7C

Investigation on 10/18/95 at Washington, D.C. 23

File # WMFO 58A-WF-200802

by [redacted] SA [redacted] Date dictated 10/18/95 b6 b7C

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FEDERAL BUREAU OF INVESTIGATION

Date of transcription 11/6/95

[redacted] Date of Birth (DOB) [redacted] was interviewed by a Special Agent (SA) of the FEDERAL BUREAU OF INVESTIGATION (FBI). Also present was Trial Attorney SUSAN PARK from the Public Integrity Section (PIS) of the United States Department of Justice (DOJ). [redacted] was advised he was being interviewed concerning his position as [redacted] and his involvement in any reviews of financial disclosure reports filed by [redacted] and SAMUEL BERGER, Deputy Assistant to the President for National Security. [redacted] advised the following:

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[redacted]

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Investigation on 11/2/95 at Washington, D.C.

File # WFO 58A-WF-200802

by [redacted] Date dictated 11/2/95

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b7C

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FEDERAL BUREAU OF INVESTIGATION

Date of transcription 11/13/95

[redacted] Date of Birth (DOB) [redacted] [redacted] Social Security Account Number (SSAN) [redacted] was interviewed by a Special Agent (SA) of the FEDERAL BUREAU OF INVESTIGATION (FBI). Also present was Trial Attorney SUSAN PARK from the Public Integrity Section (PIS) of the United States Department of Justice (DOJ). [redacted] was advised he was being interviewed concerning his work as [redacted] and his involvement in the review of financial disclosure reports filed by [redacted] and SAMUEL BERGER, Deputy Assistant to the President for National Security. [redacted] advised the following:

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[redacted]

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Investigation on 11/7/95 at Washington, D.C.

File # WFO 58A-WF-200802

by [redacted] Date dictated 11/7/95

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b7C

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FEDERAL BUREAU OF INVESTIGATION

Date of transcription 12/12/95

[redacted] Date of Birth (DOB) [redacted] b6 b7C
Social Security Account Number (SSAN) [redacted] was interviewed by a Special Agent (SA) of the FEDERAL BUREAU OF INVESTIGATION (FBI). Also present were Trial Attorneys SUSAN PARK and BEA WITZLEBEN from the Public Integrity Section (PIS) of the United States Department of Justice (DOJ). [redacted] was advised he was being interviewed concerning his position as [redacted] and his involvment in reviews of financial disclosure reports filed by [redacted] and SAMUEL BERGER, Deputy Assistant to the President for National Security. [redacted] advised the following:

[redacted] b5 b6 b7C

Investigation on 12/4/95 at Washington, D.C.

File # WFO 58A-WF-200802

by [redacted] Date dictated 12/4/95 b6 b7C

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(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 01/04/1996

To: DIRECTOR, FBI **Attn:** PUBLIC CORRUPTION UNIT
SSA [redacted]

From: ADIC, WASHINGTON FIELD OFFICE
C-20, NVMRA
Contact: SA [redacted]

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b7C

Approved By: [redacted]

[redacted] **Drafted By:** [redacted]

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: POSSIBLE CONFLICTS OF INTEREST BY [redacted]
AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO - EXECUTIVE;
OO: WFO

[redacted]

Synopsis: Case status update.

Details: **RECENT DEVELOPMENTS**

On [redacted]

[redacted]

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These records revealed that two Executive Orders were signed by President CLINTON in early 1995 after months of deliberations by captioned advisors.

A March 15, 1995, Executive Order, #12957, declared a national emergency with respect to Iran and prohibited "the financing, management or supervision by United States persons of the development of Iranian petroleum resources." This order was prepared in response to "actions and policies of the Government of Iran, including support for international terrorism, efforts to undermine the Middle East peace process, and the acquisition

2-FBIHQ
1-58A-WF-200802

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SEARCHED [redacted] INDEXED [redacted]
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JAN 0 4 1996
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of weapons of mass destruction and the means to deliver them."

Executive Order #12959 was issued by President CLINTON on May 6, 1995, "to further respond to the Iranian threat to the national security, foreign policy and the economy of the United Sates."

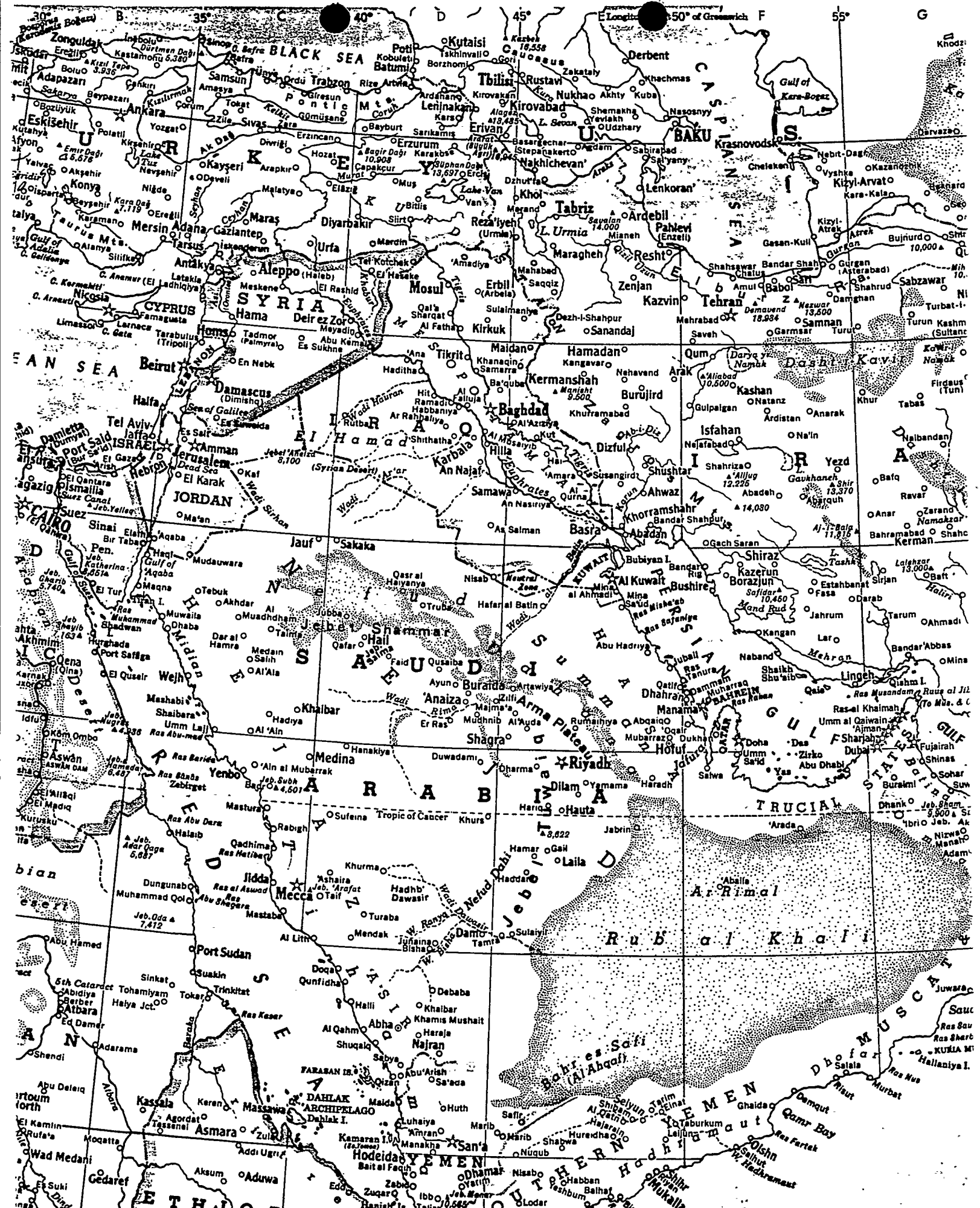
A review of the minutes from various Deputies meetings (attended by SAMUEL BERGER with memorandums prepared for [redacted] concerning these Presidential orders, reflect that "an exemption was provided to allow U.S. persons (corporations, etc.) to be licensed to participate in market-based swaps of crude oil from the Caspian Sea, in exchange for Iranian crude." This would involve Azerbaijani crude being sent for processing in Iran in exchange for Iranian crude exported from the Persian Gulf.

NSC records state that an international consortium, the Azerbaijan International Operating Committee (AIOC), was established to develop three Caspian Sea oilfields. The consortium comprises British Petroleum, Statoil, **Amoco**, Pennzoil, Unocal, McDermott International, **Exxon**, Ramco, Lukoil, Delta Nimir and Turkish Petroleum. b6 b7C

Again, WFO has verified that SAMUEL BERGER (whose family holdings included 1500 shares of **Amoco** Common stock) attended NSC Deputies meetings in 1994 and 1995 which involved complex deliberations over Caspian Sea oil exploration and distribution. This information was [redacted]

This information has been provided to DOJ Public Integrity Section trial attorneys for review and analysis. WFO SSA [redacted] intends to meet with Public Integrity Principal Deputy Chief [redacted] for the purpose of requesting a prosecutive opinion in this investigation.

Attached for FBIHQ is a photocopy of a map of the Caspian Sea/Persian Gulf region.


30°
B
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Longitude 50° of Greenwich
F
55°
G
BLACK SEA
CASPIAN SEA
Caucasus
Pontic Mts.
Taurus Mts.
ARMENIA
KURDISTAN
Zagros Mts.
Dasht-i Kavir
Dasht-i Lut
Elburz Mts.
Gulf of Aden
Gulf of Oman
PERSIAN GULF
Strait of Hormuz
Gulf of Kara-Bogaz
Lake Van
Lake Urmia
Lake Tuz
Euphrates
Tigris
Nile
Suez Canal
Red Sea
Dead Sea
Sea of Galilee
Gulf of Aqaba
Gulf of Suez
Gulf of Akhimim
Mediterranean Sea
Nefud Desert
Rub al Khali
Jebel Shammar
Arma Plateau
Harrat Khaybar
Harrat Rahat
Harrat Kishb
Harrat Nawasif
Harrat Ithnayn
Harrat Lunayyir
Harrat Khaybar
Harrat Uwayrid
Harrat Hutaymah
Harrat Kura
Harrat Ash Shamah
Harrat Al Harrah
Harrat Rahat
Harrat Khaybar

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 01/16/1996

To: WASHINGTON FIELD OFFICE

From: WASHINGTON FIELD OFFICE
Squad C-20, NVMRA
Contact: SA [redacted] X 9115

Approved By: [redacted]

[redacted] **afted By:** [redacted]

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File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: POSSIBLE CONFLICTS OF INTEREST BY [redacted]
AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO - EXECUTIVE BRANCH;
OO: WFO

Synopsis: Reassignment memo.

Details: For information, numerous interviews have been conducted in above captioned matter, both at the White House and at the National Security Council (NSC). Point of contact at DOJ's Public Integrity Section (PIS) for this investigation has been Trial Attorney SUSAN PARK, telephone number [redacted] SSA [redacted] has advised he intends to contact PIS Principal Deputy Chief [redacted] for the purpose of requesting a prosecutive opinion in this investigation.

In view of writer's recent promotion to FBIHQ, it is recommended this matter be reassigned.

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[redacted] 1/19/96

58A-WF-200802

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
JAN 17 1996
FBI — WASH. METRO FIELD OFFICE
[redacted]

1/18/96

HQ

58A-WF-200802 [redacted]

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The following investigation was conducted telephonically at Washington, D.C., by SA [redacted] on 1/24/96:

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SUSAN PARK, Trial Attorney, Public Integrity Section, U. S. Department of Justice, was contacted regarding the status of the investigation to date. PARK advised that investigative efforts to date have [redacted]

PARK advised that a recent spate of interviews had established the factual chronology of events and that "an exhaustive legal review" was being currently being undertaken to determine if this matter meets the criteria for a "particular matter".

PARK noted that her office is [redacted]

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58A-WF-200802-29

58A-WF-200802

[redacted]

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The following investigation was telephonically conducted at Washington, D.C., by SA [redacted] on 2/1/96:

Trial Attorney SUSAN PARK, Public Integrity Section, DOJ was telephonically contacted regarding the status of this investigation. PARK advised that [redacted]

b5

[redacted]

1243

58A-WF-200502-30

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/08/1996

To: Criminal Investigative Division **Attn:** SSA [redacted] PCU
WASHINGTON FIELD **Attn:** SAC MEGARY
ASAC [redacted]

From: SA [redacted]
Squad C-20 / NVMRA / WMFO
Contact: SA [redacted] X6172

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b7C

Approved By: [redacted]

Drafted By: [redacted]

File Number(s): 58A-200802 ~~(Pending)~~

Title: POSSIBLE CONFLICTS OF INTEREST BY [redacted]
AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO - EXECUTIVE BRANCH
(OO:WMFO)

Synopsis: Weekly update of case status and details of 2/6/96 meeting with SUSAN PARK, PIS Trial Attorney

Details: On 2/6/96, SUSAN PARK and BEA WITZLEBEN, Trial Attorneys, Public Integrity Section (PIS), DOJ, advised that there still had been no agreement with the NSC concerning obtaining copies of NSC documents in connection with this investigation.

PARK and WITZLEBEN thereafter provided a quick overview of the case to date. They advised that although there were two separate referrals (one on [redacted] and one on BERGER), PIS was handling both as if they were one case.

PARK provided a historical outline of the investigation conducted to date. She described receipt of the referral, interviews conducted of personnel in the Office of the Counsel to the President, and at the Office of Government Ethics (OGE) to ensure that advice to divest had been provided.

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PARK stated that it was clear that advice to divest of certain shares had been provided to both [redacted] and BERGER. PARK noted that [redacted] advised that when he discussed with [redacted] the reason(s) [redacted]

58A-WF-200802 - 31

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
FEB 7 1996
FBI — WASH. METRO FIELD OFFICE [redacted]

1-PCU, CID, FBIHQ
1-WMFO (58A-200802)
1-SAC MEGARY
1-ASAC [redacted]

1259

essentially stated that b6 b7C

As to BERGER, PARK noted that BERGER never completed the paperwork necessary to obtain the certificate of divestiture. He was first advised to divest after the review of his initial financial disclosure form and again in 1994 when it was noted that the stocks were still listed on his 1993 disclosure form. BERGER sent a handwritten note back to the NSC Legal Adviser which essentially asked, "Do I really have to divest? Are there any options other than divestiture? Could a Blind Trust be used?" The NSC Counsel's Office sent a return note to BERGER stating that there were no options, he had to divest. BERGER then sold his PUTNAM ENERGY RESOURCES stock in 1994 but retained the AMOCO stock This fact was again picked up by the White House Ethics officials following the filing of BERGER's 1994 financial disclosure form.

PARK characterized the questioning of BERGER by who challenged BERGER on the non-disclosure as BERGER claiming that he didn't know he had to divest. BERGER claimed that he asked the NSC Counsel who stated that divestiture was not necessary if the stock was according to PARK, then went to and asked if had been asked by BERGER about the necessity of divesting and what had advised. stated that he did not advise BERGER that divestiture was not necessary, in fact he advised BERGER divestiture was necessary. There are no written records of these conversations. However, when was interviewed by PIS he claimed no recollection of being asked about divestiture by BERGER or of the conversation with b6 b7C

PARK stated that the records show BERGER was directed to divest on many occasions.

PARK advised that she had been informed that

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

To: Criminal Investigative Division From: SA [redacted]
Re: 58A-200802, 02/08/1996

[redacted]

[redacted] PARK advised that BERGER got his Certificate of Divestiture in June, 1995 and it will not be known until BERGER files his 1995 taxes as to whether or not BERGER took the exemption.

PARK noted that the White House Counsel's Office had sought a way to handle this matter "in-house" but because of a list of possible problem areas prepared for the Counsel's Office, they decided a referral to DOJ was necessary. PARK stated that she and WITZLEBEN had conducted a "Lexis/Nexis" search which

[redacted] b5 b6 b7C

PARK stated that [redacted] has promised to make available the official files and further that no documents, computer files, E-mail, etc., will be destroyed by NSC staff. Nor will anything regarding divestiture be destroyed. [redacted] has also promised to provide copies of any items necessary and relevant. PARK noted, however, that no agreement had yet been reached to enable the copies to be provided. It was pointed out that this was already three weeks and we still did not have the documents.

PARK characterized her views [redacted]

[redacted]

[redacted]

PARK and WITZLEBEN reiterated that they wanted to gain access to the NSC documents before proceeding with any other investigative efforts.

♦♦

FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 2/28/96

At 1:05 p.m., 2/14/96, the interviewing Agent received from the offices of the National Security Council (NSC), Old Executive Office Building (OEOB), a sealed package reported to contain copies of documents previously identified as of interest in this matter. The package was made available to Trial Attorney SUSAN PARK, Public Integrity Section (PIS), Criminal Division, Department of Justice, who opened the package and determined that contained therein was a second sealed package.

Trial Attorney PARK also opened this second package and examined the contents therein. A label was affixed to the outside of this package indicating that it contained 17 classified documents. PARK reviewed these documents and advised that they were the documents and cover sheets which had been previously identified in the offices. PARK noted that one of the documents contained a yellow "flag" which she advised she had not affixed to the document to aid in identification for copying. This "flag" contained the handwritten notation "No evidence that BERGER saw."

The files were returned to the envelope which was resealed. The envelope was then inserted in the outer envelope which was also resealed at 3:43 p.m., 2/14/96. The items were taken to the Northern Virginia Metropolitan Resident Agency offices where they were secured in a locked cabinet.

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Investigation on 2/14/96 at Washington, D.C.

File # 58A-WF-200802

by SA [redacted] Date dictated 2/20/96

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This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/15/1996

To: WASHINGTON FIELD **Attn:** SAC MEGARY
ASAC [redacted]
CRIMINAL INVESTIGATIVE DIVISION SSA [redacted] PCU

From: SA [redacted]
Squad C-20 / NVMRA
Contact: SA [redacted] X6172

Approved By: [redacted] b6 b7C

Drafted By: [redacted]

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: POSSIBLE CONFLICTS OF INTEREST BY [redacted]
AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY
CFPO-EXECUTIVE BRANCH

Synopsis: Update of events.

Details: On 2/9/96, WMFO recontacted Trial Attorney SUSAN PARK to determine the status of the outstanding document request to the NSC. She advised that no agreement had yet been reached to obtain copies of the official records of the NSC which might be pertinent to this investigation. WMFO determined through a check of indices that [redacted]

[redacted] b6 b7C

1 - CID/PCU, FBIHQ
1 - SAC MEGARY
1 - ASAC [redacted]
1 - File

58A-WF-200802

SEARCHED [redacted] INDEXED [redacted] 33
SERIALIZED [redacted] FILED [redacted]
FEB 12 1996
FBI — WASH. METRO FIELD OFFICE
[redacted]

186

On 2/12/96, WMFO again recontacted PARK and she advised that no agreement had yet been perfected. She was reminded that this was now four weeks since the request had been made to obtain copies of these documents and that production had not yet been made because no agreement could be reached. PARK was advised that this time delay was unacceptable to WMFO.

Furthermore, PARK was advised that WMFO's review of the file showed several areas of investigation which were not dependent upon the receipt of these official records. The first and foremost of these areas involves reviewing past investigations of [redacted] and BERGER to determine if there are any facts in their background investigations which could prove helpful as to their financial holdings. Moreover, an interview of their respective financial advisers to determine the specific orders as to the handling of their portfolios was not dependent on the receipt of the official records. These portfolio reviews would ascertain all stocks, when purchased, orders given, by whom, the date(s) of these orders. PARK expressed some hesitancy at this option, noting that the financial advisers would surely claim some sort of privilege. PARK was reminded, however, that in addition to subpoena power, access to these type of records could be accomplished with customer consent. She was advised that the WMFO case Agent was preparing letters to both [redacted] and BERGER enclosing a release form and asking each of them to execute the appropriate form to enable access to the records. b6 b7C

PARK thereafter recalled the writer to advise that a discussion with her superiors within Public Integrity Section had determined that they did not believe that customer consent would work in this matter. [redacted]

On [redacted] a Federal Grand Jury was empaneled in Washington, D.C. to hear this matter. [redacted] testified as to the nature of the allegations and [redacted] b3

To: WASHINGTON FIELD From: SA [redacted] b6 b7C
Re: 58A-WF-200802, 02/13/1996

Additionally, prior to Grand Jury appearance, [redacted] b3

[redacted]

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 03/12/1996

To: CRIMINAL INVESTIGATIVE **Attn:** PCU/ SSA [redacted]
PHILADELPHIA

From: WASHINGTON FILED
Squad C-20 / NVMRA
Contact: SA [redacted] X6172

b6
b7C

Approved By [redacted]

Drafted By: [redacted]

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: POSSIBLE CONFLICTS OF INTEREST BY [redacted]
AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY
CFPO - EXECUTIVE

Synopsis: Subpoenas set out for [redacted]

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Enclosures: Enclosed for Philadelphia are the original and two copies of a subpoena (with attachment) and letter from Public Integrity Section, DOJ, to [redacted] and the original and two copies of a subpoena (with attachments) addressed to [redacted]

Details: For the information of Philadelphia, captioned matter was predicated on referrals from the Office of the Counsel to the President. These referrals (one for both BERGER and [redacted] state that there is reason to believe that these individuals may have committed a violation of Title 18, USC, Section 208 (Conflict of Interest). These allegations are based on the fact that both

2 - Bureau
2 - Philadelphia (Encls. 6)
1 - WMFO

GRAND JURY MATERIAL - DISSEMINATE ONLY PURSUANT TO RULE 6(e) FED.R.CRIM.P.

58A-WF-200802-34

[redacted] INDEXED [redacted] FILED

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b7C

MAR 1 1996

FBI — WASH. METRO FIELD OFFICE [redacted]

[redacted]

1419

FEDERAL BUREAU OF INVESTIGATION

To: CRIMINAL INVESTIGATIVE From: WASHINGTON FILED
Re: 58A-WF-200802, 03/12/1996

[redacted] and BERGER were advised to divest themselves of certain specified stock holdings when they filed their initial Financial Disclosure Forms with the White House in 1993. These forms were reviewed by the Counsel's office who advised that in their position as Director and Principal Deputy of the National Security Council (NSC), both [redacted] and BERGER may become involved in deliberations which would lead to conflicts of interest. Both were told to divest themselves of certain stock holdings (primarily oil company holdings). b6 b7C

The laws of the United States allow for officials who are forced to sell securities in order to perform public service to be given the opportunity to avoid capital gains (or losses) by putting the proceeds of the sale of these assets in certain specified funds. [redacted]

[redacted]

As to BERGER he never even sought the Certificates of Divestiture. b3 b6 b7C

[redacted]

CO 293 (Rev. 8/91) Subpoena to Testify Before Grand Jury

United States District Court

For The DISTRICT OF: Columbia

TO:

SUBPOENA TO TESTIFY BEFORE GRAND JURY

b3
b6
b7C

SUBPOENA FOR:

YOU ARE HEREBY COMMANDED to appear and testify before the Grand Jury of the United States District Court at the place, date, and time specified below.

PLACE	COURTROOM
U.S. Courthouse 3rd & Constitution Avenue Washington, D.C.	Grand Jury Room -- 3rd Floor
	DATE AND TIME

b3

YOU ARE ALSO COMMANDED to bring with you the following document(s) or object(s):*

☐ *Please see additional information on reverse.*

This subpoena shall remain in effect until you are granted leave to depart by the court or by an officer acting on behalf of the court.

U.S. MAGISTRATE OR CLERK OF COURT	DATE
Nancy M. Mayer-Whittington, Clerk	March 5, 1996
(BY) DEPUTY CLERK	

b6
b7C

This subpoena is issued upon application of the United States of America.

NAME, ADDRESS AND PHONE NUMBER OF ASSISTANT U.S. ATTORNEY

Public Integrity Section/Criminal Division
U.S. Dept. of Justice
P.O. Box 27518/Central Station
Washington, D.C. 20038

*If not applicable, enter "none."

CO 233 (Rev. 6/91) Subpoena to Testify Before Grand Jury—

RETURN OF SERVICE (1)

RECEIVED BY SERVER	DATE	PLACE
SERVED	DATE	PLACE

SERVED ON (PRINT NAME)

SERVED BY (PRINT NAME)	TITLE

STATEMENT OF SERVICE FEES

TRAVEL	SERVICES	TOTAL

DECLARATION OF SERVER (2)

I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Return of Service and Statement of Service Fees is true and correct.

Executed on _____
Date

_____
Signature of Server

_____
Address of Server

ADDITIONAL INFORMATION

(1) As to who may serve a subpoena and the manner of its service see Rule 17(d), Federal Rules of Criminal Procedure, or Rule 45(c), Federal Rules of Civil Procedure.

(2) "Fees and mileage need not be tendered to the witness upon service of a subpoena issued on behalf of the United States or an officer or agency thereof (Rule 45(c), Federal Rules of Civil Procedure; Rule 17(d), Federal Rules of Criminal Procedure) or on behalf of certain indigent parties and criminal defendants who are unable to pay such costs (28 USC 1825, Rule 17(b) Federal Rules of Criminal Procedure)".

CO 293 (Rev. 8/91) Subpoena to Testify Before Grand Jury

United States District Court

For The DISTRICT OF: Columbia

TO:

SUBPOENA TO TESTIFY BEFORE GRAND JURY

b3

SUBPOENA FOR:

YOU ARE HEREBY COMMANDED to appear and testify before the Grand Jury of the United States District Court at the place, date, and time specified below.

PLACE	COURTROOM
U.S. Courthouse 3rd & Constitution Avenue Washington, D.C.	Grand Jury Room -- 3rd Floor
	DATE AND TIME

YOU ARE ALSO COMMANDED to bring with you the following document(s) or object(s):* b3

☐ *Please see additional information on reverse.*

This subpoena shall remain in effect until you are granted leave to depart by the court or by an officer acting on behalf of the court.

U.S. MAGISTRATE OR CLERK OF COURT	DATE
Nancy M. Mayer-Whittington, Clerk	March 5, 1996
(BY) DEPUTY CLERK	b6 b7C

This subpoena is issued upon application of the United States of America.

NAME, ADDRESS AND PHONE NUMBER OF ASSISTANT U.S. ATTORNEY

Public Integrity Section/Criminal Division
U.S. Dept. of Justice
P.O. Box 27518/Central Station
Washington, D.C. 20038

*If not applicable, enter "none."

U.S. Department of Justice

Federal Bureau of Investigation

In Reply, Please Refer to
File No.

7799 Leesburg Pike
Falls Church, Va. 22043

March 15, 1996

POSSIBLE CONFLICTS OF INTEREST BY [redacted]
AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY
CORRUPTION OF FEDERAL PUBLIC OFFICIALS - EXECUTIVE

b6
b7C

This matter was predicated upon a receipt of a written request from the Acting Assistant Attorney General, Criminal Division, DOJ, which enclosed letters dated 8/8/95, from then White House Counsel [redacted] which stated that from a review of information from public financial disclosure reports (Form SF 278) and related counseling memoranda, violations of Title 18, U. S. Code, Section 208, may have been committed by [redacted] and SAMUEL RICHARD BERGER, also known as "Sandy".

The investigation has determined that when [redacted] and BERGER first joined the White House staff as [redacted] and deputy head of the National Security Council, both were required to execute SF 278s for the year 1993. At that time, a review of their personal financial holdings determined that there were potential conflicts of interest in [redacted] and BERGER holding equity positions in oil companies while serving on the NSC. After careful consideration, all other options (a waiver to allow the holding of the stocks, recusal or blind trusts) were eliminated, A decision was reached and forwarded to both [redacted] and BERGER that the potential for a conflict of interest was too great to allow them or their immediate family members to continue to hold these equity positions in the oil companies. [redacted]

b6
b7C

[redacted] BERGER held stock in PUTNAM ENERGY RESOURCES FUND and [redacted]

To enable persons to serve in positions in the U. S. Government and not endure financial hardship because of this service, the law allows for the granting of a "Certificate of Divestiture" which allows an employee forced to sell his/her stock because of government service to avoid any capital gains on the forced sale, so long as the proceeds of the sale are placed in specified investment forms. [redacted]

SBA-WF-200802-35

searched [redacted] indexed [redacted]
serialized [redacted] filed [redacted]

14 19

[redacted]

BERGER sold his PUTNAM ENERGY RESOURCES FUND however [redacted] continued to hold the AMOCO stock. BERGER also continued to report these stocks on his SF 278s and also received yearly reminders of the necessity for divestiture. BERGER never asked for nor received a Certificate of Divestiture until June, 1995, (just before referral to the DOJ). b6 b7C

Review of documents at the NSC had located documents indicating that both [redacted] and BERGER were active participants in the formulation of U. S. Government policy in areas directly effecting oil companies or in the advising of the President on positions which directly involved not only oil policy in general, but also these companies in particular.

A verbal request was received from the Public Integrity Section of the DOJ to determine whether or not the FBI's background investigation of these individuals had actively participated in the 1992 campaign.

A review of the background investigation conducted of both [redacted] and BERGER determined that the Questionnaire for Sensitive Positions (Form SF 86) required for each appointee to such a position, contained no indication that either [redacted] or BERGER had left their respective employments to work in the campaign.

b6 b7C

In an interview conducted 1/27/93, BERGER advised that he had taken a leave of absence to work on the CLINTON campaign as the Foreign Policy Advisor, and worked directly for CLINTON.

[redacted]

Moreover, a newspaper clipping was located from the 12/23/92, edition of "The Washington Post", a daily newspaper published in Washington, D.C., entitled "Lake Enjoys Familiarity With Position". This article contains the byline of DON OBERDORFER. The article states in part, "BERGER...brought LAKE and CLINTON together. Last fall, BERGER recruited LAKE as an adviser on foreign policy." The article continues to state, "BERGER, 47, has been on leave from the law firm of Hogan & Hartson..." The article described BERGER's activities by stating, "...During the campaign, BERGER traveled with a big suitcase of positions approved by the candidate in case these

issues were raised during debates or news conferences. Because of the overwhelming focus on domestic and economic issues, many of these positions were never announced."

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 03/15/1996

To: CRIMINAL INVESTIGATIVE **Attn:** SSA [redacted] PCU
WASHINGTON FIELD **Attn:** SAC MEGARY
ASAC [redacted]

From: WASHINGTON FIELD
Squad C-20 / NVMRA
Contact: SA [redacted] X6172

Approved By: [redacted] b6 b7C

Drafted By: [redacted]

File Number(s): 58A-200802 ~~(Pending)~~

Title: POSSIBLE CONFLICTS OF INTEREST BY [redacted]
AND SAMUEL BERGER, DEPUTY ASSISTANT
TO THE PRESIDENT FOR NATIONAL SECURITY
CFPO - EXECUTIVE

Synopsis: LHM setting forth possible coverage of BERGER and [redacted] under provisions of EIGA Act.

Administrative: WMFO continues to aggressively pursue the acquisition and review of records in connection with the Conflict of Interest matter. Review of NSC documents is taking place on a daily basis. Subpoenas have been issued and served on [redacted] b3 b6 b7C

[redacted]

2 - Bureau (Encls. 3)
1 - WMFO

58A-WF-200802-36

GRAND JURY MATERIAL - DISSEMINATE ONLY PURSUANT TO RULE 6(e) FED.R.CRIM.P.

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
MAR 12 1996
FBI — WASH. METRO FIELD [redacted] b6 b7C

1494

FEDERAL BUREAU OF INVESTIGATION

To: CRIMINAL INVESTIGATIVE From: WASHINGTON FIELD
Re: 58A-200802, 03/15/1996

The request by PIS for review of the background investigationS (for [redacted] and for BERGER 161-1043770) indicates that PIS is considering whether or not either or both of these subjects could fall under the umbrella of the EIGA in that they held responsible positions and exercised authority of a national nature during the campaign. It is the belief of WMFO that additional investigation will be required to resolve that matter and that the additional investigation will be a threshold inquiry as defined in EIGA. It is suggested, however, that any EIGA investigation be conducted separately from the 58 matter and that requests for additional investigation from PIS be in the form of a formal request of the FBI to conduct such an investigation. b6 b7C

Enclosures: Enclosed for the Bureau are the original and two copies of an LHM dated and captioned as above.

Details: Investigation continues to review NSC documents (E-mails, position papers, third agency communications to the NSC). PIS requested a review of FBI background files on [redacted] and BERGER to determine if there was any indication that either had a part in the campaign. b6 b7C

♦♦

GRAND JURY MATERIAL - DISSEMINATE ONLY PURSUANT TO
RULE 6(e) FED.R.CRIM.P.

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

◆◆**Precedence:** ROUTINE **Date:** 03/20/1996

To: CRIMINAL INVESTIGATIVE **Attn:** SSA [redacted] / PCU
WASHINGTON FIELD **Attn:** SAC MEGARY
ASAC [redacted]

From: WASHINGTON FIELD
Squad C-20 / NVMRA
Contact: SA [redacted] X6172 b6 b7C

Approved By: [redacted]

Drafted By: [redacted]

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: POSSIBLE CONFLICT OF INTEREST BY [redacted]
AND SAMUEL BERGER, DEPUTY ASSISTANT TO
THE PRESIDENT FOR NATIONAL SECURITY
CFPO - EXECUTIVE

Synopsis: Status of investigation set forth.

Details: By LHM dated 3/15/96, WMFO set forth information relating to captioned investigation. In particular, WMFO LHM set forth request from Public Integrity Section to review FBI background investigations of [redacted] and BERGER to determine whether or not either subject had been ascertained to be working on 1992 campaign, and specifically if there was any information on the Personnel Security Questionnaire (SF 86) for either individual indicating there was any involvement in the campaign. PIS attorneys advised that "post [redacted], a review was going to have to be made of a number of pending matters to determine if the subjects of those cases were "covered persons" under the terms of the EIGA statute. ("Post [redacted] refers to the recently concluded EIGA investigation of [redacted] b6 b7C

1 - Bureau
1 - SAC MEGARY
1 - ASAC [redacted]
1 - File

58A-WF-200802

SEARCHED [redacted] INDEXED [redacted] 37
SERIALIZED [redacted] FILED [redacted] 38
MAR 1 [illegible]
FBI — WASH. METRO FIELD OFFICE
[redacted]

To: CRIMINAL INVESTIGATIVE From: WASHINGTON FIELD
Re: 58A-WF-200802, 03/20/1996

File [redacted] wherein WMFO was tasked with conducting an investigation into [redacted]

b6
b7C

The FBI background investigative files of both [redacted] and BERGER were reviewed as were the SF 86s. This review determined that the SF 86s contained no information whatsoever that either BERGER or [redacted] had participated in the 1992 campaign. Additional information in the files, however, hinted that both men may have held some posts in the campaign. This material was also provided to PIS with the request that if an EIGA investigation was being considered, a formal request be made of the FBI for assistance.

National Security Council (NSC) files have been made available on an issue ("the Caspian Sea oil swaps") which PIS attorneys had identified as being of importance. The files are being reviewed (and have been in the process of being reviewed for the past two weeks) at NSC offices and are being tabbed for copying by NSC staff who are then making the copies available to WMFO.

However, as WMFO SA entered the NSC offices on 3/20/96, the two PIS attorneys who were already present announced that they had received instruction from their superiors that the SA was not to review additional documents but rather to focus on the issue of whether or not [redacted] and BERGER were covered persons. The attorneys also renewed a request to obtain a copy of the SF 86 themselves. The WMFO SA reiterated his position that this request was a personal affront and unprofessional in that it implied that the Agent could not be trusted or that there was an ulterior question which was not being shared. The attorneys further pointed out that they were not reviewing materials which were left yet to be reviewed but instead were reviewing materials which the SA had previously reviewed.

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On 3/20/96, [redacted] Deputy Chief, PIS, telephonically contacted WMFO and reiterated her belief that PIS

could direct Sas in the performance of their duties. Specifically, [redacted] stated that all investigative efforts should cease on the conflict of interest aspect of this case and that the case Agent instead should focus on the EIGA aspects. It was pointed out to [redacted] that the actions of the Trial Attorneys in continuing to review NSC documents (and in particular documents which had already been reviewed) were at seeming contradiction with her position. Further, it would appear that the EIGA investigation is a separate investigation, subject to different statutes, time constraints, investigative abilities and reporting requirements. b6 b7C

Moreover, WMFO believes that to cease all efforts is a gross understatement of this matter. This investigation is really two separate investigations (one on [redacted] and one on BERGER) which are being conducted simultaneously. Preliminary information received to date indicates that BERGER was involved in the campaign on a full time basis from September, 1992, until the election, but that [redacted] BERGER was performing his duties. To cease all efforts with no reasonable expectation that both subjects are subject to the EIGA coverage will delay this matter unnecessarily. For example, it is not unreasonable to believe that a finding may occur that while BERGER is "covered", [redacted] b3 b6 b7C

In addition, PIS provided subpoenas following much argument by WMFO and after a delay of several weeks. These subpoenas were directed to [redacted]

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 03/25/1996

To: WASHINGTON FIELD **Attn:** FS [redacted]

Fro SA [redacted]
Squad C-20 / NVMRA
Contact: SA [redacted] X6172

Approved By [redacted] b6 b7C

Drafted By: [redacted]

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: POSSIBLE CONFLICT OF INTEREST BY [redacted]
AND SAMUEL BERGER, DEPUTY ASSISTANT
TO THE PRESIDENT FOR NATIONAL SECURITY

Synopsis: To acknowledge support assistance provided in captioned matter.

Details: On 3/20/96, writer received from [redacted] b3

Upon arrival in the office, I solicited help in copying the documents while maintaining the order and filing system of the records. I understand that [redacted] undertook the project to make copies of the documents. This project, as described above, entailed not only copying, but maintaining the integrity of the files as to how the documents were arranged when received, how the documents were bound when received, determining whether or not copies were double sided, etc. This task was made all the more difficult because of the extremely short time frame which was possible to accomplish the project. b6 b7C

I bring to your attention these above support employees who truly rose to the occasion and performed under stress in the manner which has been the hallmark of the FBI. These employees are truly worthy of being brought to your attention.

58A-WF-200802

SEARCHED [redacted] INDEXED [redacted] 39
MAR 22 1996
FBI — WASH. METRO FIELD OFFICE [redacted]

1495

FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 3/25/96

[redacted] telephone [redacted] was advised of the official identity of the interviewing Agent by display of credentials and of the nature of the inquiry. [redacted] thereafter accepted service of a Federal Subpoena Duces Tecum directed to [redacted] This subpoena, returnable [redacted] called for [redacted]

b3
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b7C

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Investigation on 3/13/96 at [redacted]

File # 58A-WF-2008[redacted]

b6
b7C

by SA [redacted] Date dictated 3/25/96

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

CO 293 (Rev. 8/91) Subpoena to Testify Before Grand Jury

United States District Court

For The DISTRICT OF: Columbia

TO:

SUBPOENA TO TESTIFY BEFORE GRAND JURY

b3

SUBPOENA FOR:

YOU ARE HEREBY COMMANDED to appear and testify before the Grand Jury of the United States District Court at the place, date, and time specified below.

PLACE	COURTROOM
U.S. Courthouse 3rd & Constitution Avenue Washington, D.C.	Grand Jury Room -- 3rd Floor
	DATE AND TIME

YOU ARE ALSO COMMANDED to bring with you the following document(s) or object(s):*

b3

☐ *Please see additional information on reverse.*

This subpoena shall remain in effect until you are granted leave to depart by the court or by an officer acting on behalf of the court.

U.S. MAGISTRATE OR CLERK OF COURT	DATE
Nancy M. Mayer-Whittington, Clerk	March 5, 1996
(BY) DEPUTY CLERK	

of the United States of America

NAME, ADDRESS AND PHONE NUMBER OF ASSISTANT U.S. ATTORNEY

b6
b7C

Public Integrity Section/Criminal Division
U.S. Dept. of Justice
P.O. Box 27518/Central Station
Washington, D.C. 20038

*If not applicable, enter "none."

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 03/28/1996

To: CRIMINAL INVESTIGATIVE **Attn:** SSA [redacted] PCU
WASHINGTON FIELD **Attn:** SAC MEGARY
ASAC [redacted]

From: WASHINGTON FIELD
Squad C-20 / NVMRA
Contact: SA [redacted] X6172

Approved By: [redacted]

Drafted By: [redacted]

b6
b7C

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: [redacted]
SAMUEL RICHARD BERGER, aka
"SANDY" BERGER, DEPUTY SPECIAL ASSISTANT
TO THE PRESIDENT FOR NATIONAL SECURITY;
POSSIBLE CONFLICT OF INTEREST

Synopsis: To provide update of investigation.

Previous Title: POSSIBLE CONFLICT OF INTEREST BY [redacted] AND
SAMUEL BERGER, DEPUTY SPECIAL ASSISTANT TO
THE PRESIDENT FOR NATIONAL SECURITY

Details: Washington Field Case Agent [redacted]

[redacted]

b3
b6
b7C

1 - Bureau
1 - SAC Megary
1 - ASAC [redacted]
1 - File

GRAND JURY MATERIAL - DISSEMINATE ONLY PURSUANT TO RULE 6(e) FED.R.CRIM.P.

58A-WF-200802-41

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED FILED
APR 0 1 1996
FBI — WASH. METRO FIELD [redacted]

1527

[redacted]

In addition, WMFO received files from [redacted] These files show that [redacted]

[redacted]

Moreover, a preliminary review of [redacted]

[redacted]

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WMFO is awaiting the results of leads to Philadelphia Division for interview of [redacted]

In addition, Public Integrity Section (PIS) has advised that they are sending a formal request to implement an Ethics in Government Act (EIGA) case on both [redacted] and BERGER in that they may have held "covered positions" in the 1992 campaign. When this request is received, WMFO will institute a separate 211 investigation on each subject to run parallel to captioned investigation.

♦♦

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 04/01/1996

To: INFORMATION RESOURCES DIVISION **Attn:** DAD GORDON ZACREP
WASHINGTON FIELD **Attn:** SAC MEGARY
ASAC [redacted]

From: WASHINGTON FIELD
SQUAD C-20 / NVMRA
Contact: SA [redacted] X6172

Approved By: [redacted]

Drafted By: [redacted]

b6
b7C

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: [redacted]
SAMUEL RICHARD BERGER,
Aka "SANDY" BERGER, DEPUTY
ASSISTANT TO THE PRESIDENT FOR
NATIONAL SECURITY;
POSSIBLE CONFLICT OF INTEREST

Synopsis: To request assistance in creating and assembling automated database of records in this matter.

Details: Captioned investigation involves [redacted] When these two individuals took office at the beginning of this administration, they filled out the required financial disclosure forms. A review of these forms determined that both men held equity positions in oil companies. A decision was made by the White House Counsel"s office that there was too much of a chance of a conflict of interest to hold oil stocks. The situation was considered serious enough that lesser forms of remedy (recusal, waiver) were considered and rejected.

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2 - Bureau
1 - SAC MEGARY
1 - ASAC [redacted]
1 - FILE

58A-WF-200802 42

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
APR 0 2 1996
FBI — WASH. METRO FIELD OFFICE [redacted]

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557

However, the holdings continued to be shown on financial disclosure forms filed for 1993 and 1994. Each year, the subjects were again told to divest themselves of these equity positions. Finally, in Spring, 1995, the White House Counsel's Office decided it could no longer keep telling these individuals to divest. A referral was made to DOJ.

[redacted] b3

WMFO is seeking to have these documents marked with a Bates number or bar code and then scanned into digital form for ease of sorting either by date, specific word, etc. It should be pointed out that this case is really two separate cases (one on each individual) and that it will be necessary to manipulate the data several ways. To create copies for each separate manipulation and then recreate the copies for DOJ would be a task of immense proportions.

It is anticipated that WMFO will ultimately seek to create a time line for each individual wherein the effects of certain U. S. Government strategies as advocated by these two can be contrasted on a day by day basis [redacted] b3

[redacted]

To: INFORMATION RESOURCES DIVISION From: WASHINGTON FIELD
Re: 58A-WF-200802, 04/01/1996

LEAD(s):

Set Lead 1:

INFORMATION RESOURCES

AT WASHINGTON, D.C.

Contact WMFO for purposes of designing and implementing a database system involving the marking of these documents, the scanning of these documents and the manipulating of the digitized material. Point of contact is SA [redacted] who can be reached at telephone 324-6172. b6 b7C

200802.EC C-20

(06/01/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 04/10/1996

To: WMFO **Attn:** SA [redacted]

From: Philadelphia
(Allentown RA)
Contact: SA [redacted] (610) 433-6488

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 58A-WF-200802 ~~(Pending)~~

Title: [redacted]
AND SAMUEL BERGER, DEPUTY ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY;
CFPO--EXECUTIVE

X [redacted]

Synopsis: [redacted] Subpoenas served on [redacted]

Enclosures: Original and one copy of FD-302 reflecting the [redacted]

b3
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Details: In response to WMFO EC dated 3/12/96, and for information of WMFO, [redacted] on [redacted]

58A-WF-200802 44

58A-WF-200802

GRAND JURY MATERIAL - DISSEMINATE ONLY PURSUANT TO RULE 6(e) FED.R.CRIM.P.

UCFN [X] Pos [ ] Neg ____

GENERAL INDICES:

Automated Search ____

SEARCHED [redacted] INDEXED [redacted]
SERIALIZE [redacted] FILED [redacted]

APR 15 1996

FBI-PHILADELPHIA

1996

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b7C

SA [redacted]

To: WMFO From: Philadelphia
Re: 58A-WF-200802, 04/10/1996

[redacted] b3 b6 b7C

Investigation as requested by WMFO has been completed at Philadelphia - Wyomissing, PA.

♦♦

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

♦♦Precedence: ROUTINE **Date:** 04/11/1996

To: CRIMINAL INVESTIGATIVE **Attn:** SSA [redacted] / PCU
WASHINGTON FIELD **Attn:** SAC MEGARY
ASAC [redacted]

From: WASHINGTON FIELD
Squad C-20 / NVMRA
Contact: SA [redacted] X6172

Approved By: [redacted]

Drafted By: [redacted]

b6
b7C

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: [redacted]
SAMUEL RICHARD BERGER,
AKA "SANDY" BERGER, DEPUTY
ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
POSSIBLE CONFLICTS OF INTEREST

Synopsis: Status of investigation set forth.

Reference: WMFO EC, 4/1/96.

Details: Referenced EC advised that WMFO had finished review of documents [redacted]

[redacted]

b3
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2 - Bureau
1 - SAC MEGARY
1 - ASAC [redacted]
1 - File

58A-WF-200802

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
APR 11 [illegible]
FBI — WASH. METRO FIELD OFFICE
[redacted]

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b7C

1594

Referenced EC also set forth request of IRD to assist in scanning these documents into a database which can more easily be managed. WMFO awaiting for arrangements to be perfected for this request.

In addition, WMFO continues [redacted] Philadelphia Division served like subpoenas on [redacted]

b3
b6
b7C

FD-360 (Rev. 5-8-81)

(Indicate page, name of newspaper, city and state.)
WASHINGTON POST
P. D 11
Date: 4/18/96
Edition:

Title:

Character:
or
Classification:
Submitting Office: 58A-WF-200802

Indexing:

Mobil Closing in Space Below

Mobil to Buy Into Kazakhstan Oil Field

25 Percent Stake Could Be Worth $1.25 Billion Annually

By Daniel Southerland
Washington Post Staff Writer

Mobil Corp. of Fairfax said yesterday it will buy a major stake in one of the world's largest oil fields, the Tengiz field in the former Soviet republic of Kazakhstan.

Under an agreement with Kazakhstan, Mobil will purchase a 25 percent share in the "supergiant" central Asian oil field. According to analysts, the field could yield as much as $5 billion a year in combined revenue for its owners once it reaches peak production.

Kazakhstan, which holds a 50 percent share in Tengiz, will sell half of its share to Mobil, according to an announcement by Kazakhstan and Mobil. Chevron Corp. in San Francisco holds the remaining 50 percent.

The move would make Mobil, the biggest Fortune 500 company based in the Washington area, a leading player in the high-stakes struggle to tap some of the world's largest remaining oil reserves in "new frontier" areas of the former Soviet Union.

"This is the kind of risk I would certainly take," said Eugene L. Nowak, an analyst at Dean Witter Reynolds Inc. in New York, who predicts that Tengiz will eventually generate "significant earnings" for Mobil.

"This agreement is a very significant opportunity for Mobil," said Lucio A. Noto, Mobil's chairman and chief executive, in a statement.

Mobil's stock yesterday closed at $115 a share, down $1.12¼, on the New York Stock Exchange.

Analysts said the Tengiz acquisition is an aggressive move for Mobil, which has tended to act more cautiously than some of its competitors in investing in new, high-risk areas overseas.

"There are still some big risks involved in this project, because the export pipeline has still not been firmed up," said Julia Nanay, an analyst with District-based Petroleum Finance Co.

"There's always a risk in investing in an area like this," Nowak said. "But I think the risk is mitigated by the fact that Tengiz is a producing field. . . . There are very few opportunities like this left in the world, and Mobil should be ecstatic."

Mobil did not disclose the price it will pay for its stake in the oil field, which is situated in a windswept desert near the Caspian Sea.

Over the past five years, Chevron has sunk more than $700 million into the Tengiz field, but it reduced spending on the venture in 1995 because of Russian restraints on exports of oil from the field. The main issue blocking exports from Tengiz has been disagreement over the stakes in and financing of a proposed 900-mile, $1.2 billion pipeline to ship the Tengiz oil to world markets.

Mobil is negotiating over the pipeline with Russia, Kazakhstan, Oman and several other international oil and gas companies.

58A-WF-200802

SEARCHED ☐ INDEXED ☐
SERIALIZED ☐ FILED ☐
APR 18 1996
FBI — WASH. METRO FIELD ☐

46
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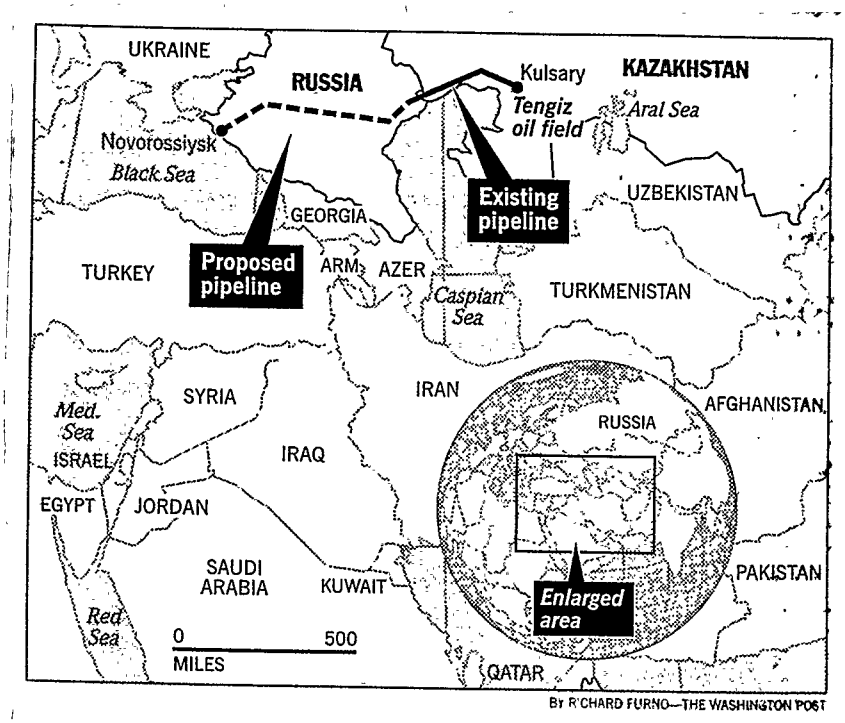

BY RICHARD FURNO—THE WASHINGTON POST

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 04/19/1996

To: WASHINGTON FIELD **Attn:** SAC MEGARY
ASAC

From Squad C-20 / NVMRA
Contact: SA X6172

Approved By:

Drafted By:

b6
b7C

File Number(s): 58A-WF-200802

Title:

SAMUEL RICHARD BERGER,
Aka "Sandy" BERGER, Deputy Assistant to the President for National Security;
CFPO

Synopsis: To request use of vault area in NVMRA to store and process

Details: WMFO has spent several weeks reviewing documents at the In the course of that review, numerous documents were located which bear directly on the issue of whether or not the subjects may have committed violations of the conflict of interest laws.

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The documents have been secured in a safe within the NVMRA

1 - SAC MEGARY
1 - ASAC
1 - TSS (Attn: SA
1 - WMFO SECURITY OFFICE (ATTN: SA
1 - File

b6
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58A-WF-200802
SEARCHED INDEXED
SERIALIZED FILED
APR 17 1996
FBI — WASH. METRO FIELD O
47

To: WASHINGTON FIELD From: SA [redacted]
Re: 58A-WF-200802, 04/19/1996

By EC dated 4/1/96, WMFO requested assistance of Information Resources Division (IRD) to establish a "mini rapid start" to enable WMFO to scan these documents into a computer database after marking them with a barcode or Bates stamp. Because some of these documents had [redacted] the hardware and personnel for this mission would likewise need to be cleared and capable of handling this type of information. WMFO has had conversations with SSA [redacted] IRD, concerning this request. [redacted] is researching several areas concerning this request and will be responding to WFO shortly. One of the areas of concern, however, dealt with the necessity of a [redacted] in which to house the specialized scanners, printers and computers necessary. On 4/18/96, SA [redacted] WMFO Security Officer, conducted a survey of the current space and holding conditions. The documents are currently being housed in approved containers but to work on them would require a facility which is [redacted] with slab to slab construction, combination lock and is alarmed.

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On 4/19/96, SA [redacted] advised that he had been in contact with SA [redacted] TSS, regarding these needs and it was determined that the vault (former evidence room on the second floor of the NVMRA) would fit the requirements. This space is currently empty and available for a temporary use such as described above. TSS has agreed to [redacted] and provide it only to case Agent and others possessing necessary [redacted] This room would adequately house the required hardware and serve as an approved storage facility for the [redacted]

b6
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b7E

It is recommended that approval be granted for the use of this secure space for housing documents and necessary computer processing of the documents.

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 06/05/1996

To: CID SSA [redacted] PCU
WASHINGTON FIELD **Attn:** SAC MEGARY
ASAC [redacted]

From: SA [redacted]
Squad C-20 / NVMRA
Contact: SA [redacted] X6172

Approved By: [redacted] b6 b7C

Drafted By: [redacted]

File Number(s): 58A-WF-200802

Title: [redacted]
SAMUEL RICHARD BERGER,
Aka "Sandy" BERGER, Deputy Assistant to the President for National Security;
CFPO

Synopsis: To provide update of investigation and updated timeline of events.

Details: WMFO has spent several weeks reviewing documents [redacted] believed pertinent to captioned investigation. Additional time has been spent with a detail from the Rapid Start Unit scanning these documents into a computerized data base which can then be electronically copies and manipulated as necessary. b3 b6 b7C

Concurrent with the Rapid Start efforts, a review has been underway to summarize [redacted] and to then incorporate this information into a comprehensive timeline along with information gleaned from the documents of the White House Counsel's Office.

1 - Bureau (Encl. 1) b6 b7C
1 - SAC MEGARY
1 - ASAC [redacted]
1 - File

58A-WF-200802-48

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
FBI — WASH. METRO FIELD OFFICE

To: WASHINGTON FIELD From: SA [redacted]
Re: 58A-WF-200802, 04/19/1996

On 6/3/96, [redacted] was interviewed at the insistence of the Public Integrity Section dealing only with [redacted]

[redacted]

[redacted]

[redacted]

b5
b6
b7C

(06/01/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 07/10/1996

To: WMFO (NVMRA) **Attn:** SA [redacted]

From: Savannah ITC
Investigative Information Services Center (IISC)
Contact: [redacted] (912/944-0770) b6 b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 58A-WF-200802 ~~(Pending)~~

Title: MOBIL CORP
REQUEST #79008

Synopsis: To report results of request submitted to Savannah ITC.

Details: **IISC DATABASE PRINTOUTS HAVE BEEN SENT TO THE REQUESTER AND WILL BE MAINTAINED AS PERMANENT FILE MATERIAL IN THE OO CASE FILE.**

Results of inquiries are set forth below:

Enclosed are results of query of MOBIL for SEC filings during the years 1993, 1994 and 1995. Results are far too numerous to print. Please resubmit request for a specific area/location or month/day in an effort to narrow search parameters.

**THIS IS PERMANENT FILE MATERIAL
AND IS TO BE MAINTAINED IN
THE OO CASE FILE.**

♦♦

7/15/96 Called [redacted] @ Savannah ITC - They will research for annual report + anything w/ caderwords CASPIAN SEA, KHAZAKSTAN + UZBEKASTAN. b6 b7C

CASE FILE COPY

SEARCHED [redacted] INDEXED
SERIALIZED [redacted] FILED
JUL 15 1996
FBI — WASH. METRO FIELD OFFICE

58A-WF-200802-49

FD-609a (Rev. 8-8-95)

INVESTIGATIVE INFORMATION REQUEST FORM

FBI, Savannah Information Technology Center
220 East Bryan Street
Savannah, Georgia 31401
▹ Commercial Telephone or FTS: (912) 944-0824 thru 0828
▹ FAX: (912) 231-1076 and (912) 231-0974
▹ Secure FAX & STU III: (912) 231-1075

ITC Use Only: SITC Record #: 79008
Date/Time In: 7/8 1:15:01 ☐ am ☑ pm
Date/Time Out: 7/9 12:30:2 ☐ am ☐ pm
Database(s) Used:
1. [ ] 5. _____ 9. _____
2. _____
3. _____
4. _____
Handled By: _____

b6
b7C

TO: FBI, SAVANNAH INFORMATION TECHNOLOGY CENTER

Date: 7/8/96
Forfeiture/Seizure Related: ☐ Type of Request: ☒ FAX ☐ Telcal ☐ Mail Reply: ☐ FAX ☐ Telcal ☒ Mail
Requestor: SA [redacted] (Requestor Name is Required) Phone #: (202) 324-6172 FAX #: (202) 324-6426 UCFN: 58A-WF-200802 (UCFN (File #) is Required)
Office/RA: WMFO/NYMRA Precedence: ☒ ROUTINE ☐ PRIORITY ☐ IMMEDIATE
Approximate turnaround times (48 hrs) (24 hrs) (2 hrs)

SEARCH CRITERIA (Attach additional sheets if necessary)

Name - Last: MOBIL CORP. First: _____ Middle: _____
Alias: _____ Sex: ___ DOB1: __/__/__ DOB2: 7/1/
SSAN1: ___-___-___ SSAN2: ___-___-___ Spouse: _____
Fugitive: ☐ Yes ☐ No Driver's License #: _____ State: _____

RESIDENCE
Street Address: _____ City/State: _____ Zip: _____ Phone: _____

BUSINESS
Business Name: _____ Street Address: _____
City/State: _____ Zip: _____ Phone: _____ Business ID#: _____

CHECK DESIRED SEARCH PARAMETERS (Please check only those that are needed)

☒ 1. Specific Information Desired ALL SEC FILINGS FOR YEARS [redacted] 1993, 1994 AND 1995
☐ 2. Determine All Individuals Associated with Social Security Number(s)
☐ 3. Report Validity of Social Security Number
☐ 4. Determine Who is Associated with Telephone Number(s)
☐ 5. Determine Address of Business/Person (____ U.S. _____, _____, _____ State(s))
☐ 6. Determine Property Owned by Individual (____ U.S. _____, _____, _____ State(s))
☐ 7. Determine Who Owns Property Listed Above
☐ 8. Determine Who Resides at Address Listed Above
☐ 9. Determine Financial Background Info, i.e., Bankruptcy, Judgements, Liens, UCC filings, or Lawsuits
☐ 10. Determine Corporate Business Info, i.e., Officer, Director, Registered Agent _____ (Person/Business)
☐ 11. Customs Border Crossings / Subject query / I-94 info *(circle one)*
☐ 12. Federal Prison Inmate Information
☐ 13. Telemarketing Complaints

Reply From: FBI, Savannah Information Technology Center (SITC)

Return Reply To:
SAC, _____
Attention: _____

Based on search criteria, marked records are attached:
☐ Possible Identifiable Records ☐ Brief Synopsis of Information Found
☐ Other Peripheral Information ☐ No Information Found

MOBIL AND DATE IS 1993

Your search request has found 641 REPORTS through Level 1.
To DISPLAY these REPORTS press either the KWIC, FULL, CITE or SEGMTS key.
To MODIFY your search request, press the M key (for MODFY) and then the ENTER key.

For further explanation, press the H key (for HELP) and then the ENTER key.
Press Alt-H for Help or .SO to End Session or Alt-Q to Quit Software.

MOBIL AND DATE IS 1994

Your search request has found 980 REPORTS through Level 1.
To DISPLAY these REPORTS press either the KWIC, FULL, CITE or SEGMTS key.
To MODIFY your search request, press the M key (for MODFY) and then the ENTER key.

For further explanation, press the H key (for HELP) and then the ENTER key.
Press Alt-H for Help or .SO to End Session or Alt-Q to Quit Software.

MOBIL AND DATE IS 1995

Your search request has found 1,137 REPORTS through Level 1.
To DISPLAY these REPORTS press either the KWIC, FULL, CITE or SEGMTS key.
To MODIFY your search request, press the M key (for MODFY) and then the ENTER key.

For further explanation, press the H key (for HELP) and then the ENTER key.
Press Alt-H for Help or .SO to End Session or Alt-Q to Quit Software.

(06/01/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 07/10/1996

To: WMFO (NVMRA) **Attn:** SA [redacted]

From: Savannah ITC
Investigative Information Services Center (IISC)
Contact: [redacted] (912/944-0770) b6 b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 58A-WF-200802 ~~(Pending)~~

Title: AMOCO CORP
REQUEST #79009

Synopsis: To report results of request submitted to Savannah ITC.

Details: **IISC DATABASE PRINTOUTS HAVE BEEN SENT TO THE REQUESTER AND WILL BE MAINTAINED AS PERMANENT FILE MATERIAL IN THE OO CASE FILE.**

Results of inquiries are set forth below:

Enclosed are results of query of AMOCO for SEC filings during the years 1993, 1994 and 1995. Results are far too numerous to print. Please resubmit request for a specific area/location or month/day in an effort to narrow search parameters.

**THIS IS PERMANENT FILE MATERIAL
AND IS TO BE MAINTAINED IN
THE OO CASE FILE.**

♦♦

7/15/96- Called [redacted] @ Savannah ITC - they will research for annual reports of anything w/ code words Caspian Sea, Khazakstan + Uzbekistan. b6 b7C

FILE COPY

SEARCHED [redacted] INDEXED
SERIALIZED [redacted] FILED
JUL 1 [illegible]
FBI — WASH. METRO FIELD OFFICE

58AWF-200802-50

FD-809a (Rev. 8-8-95)

INVESTIGATIVE INFORMATION REQUEST FORM

FBI, Savannah Information Technology Center
220 East Bryan Street
Savannah, Georgia 31401
- Commercial Telephone or FTS: (912) 944-0824 thru 0828
- FAX: (912) 231-1076 and (912) 231-0974
- Secure FAX & STU III: (912) 231-1075

ITC Use Only: SITC Record #: 79009
Date/Time In: 7/8 15:02 ☐ am ☒ pm
Date/Time Out: 7/8 1230 ☐ am ☐ pm
Database(s) Used:
1. [ ] 2. ____ 3. ____ 4. ____ 5. ____ 6. ____ 9. ____ 10. ____
Handled By: ____

b6
b7C

TO: FBI, SAVANNAH INFORMATION TECHNOLOGY CENTER

Date: 7/8/96
Forfeiture/Seizure Related: ☐ Type of Request: ☒ FAX ☐ Telcal ☐ Mail Reply: ☐ FAX ☐ Telcal ☒ Mail
Requestor: SA [ ] (Requestor Name is Required) Phone #: (202) 324-6172 FAX #: (202) 324-6172 UCFN: 58A-WF-200802 (UCFN (File #) is Required)
Office/RA: WMFO / NVMRA Precedence: ☒ ROUTINE ☐ PRIORITY ☐ IMMEDIATE
Approximate turnaround times (48 hrs) (24 hrs) (2 hrs)

SEARCH CRITERIA (Attach additional sheets if necessary)

Name - Last: AMOCO CORP. First: ____ Middle: ____
Alias: ____ Sex: ____ DOB1: __/__/__ DOB2: __/__/__
SSAN1: ___-___-___ SSAN2: ___-___-___ Spouse: ____
Fugitive: ☐ Yes ☐ No Driver's License #: ____ State: ____

RESIDENCE

Street Address: ____ City/State: ____ Zip: ____ Phone: ____

BUSINESS

Business Name: ____ Street Address: ____
City/State: ____ Zip: ____ Phone: ____ Business ID#: ____

CHECK DESIRED SEARCH PARAMETERS (Please check only those that are needed)

☒ 1. Specific Information Desired ALL SEC FILINGS FOR YEARS 1993, 1994 and 1995
☐ 2. Determine All Individuals Associated with Social Security Number(s)
☐ 3. Report Validity of Social Security Number
☐ 4. Determine Who is Associated with Telephone Number(s)
☐ 5. Determine Address of Business/Person (____ U.S. ____, ____, ____ State(s))
☐ 6. Determine Property Owned by Individual (____ U.S. ____, ____, ____ State(s))
☐ 7. Determine Who Owns Property Listed Above
☐ 8. Determine Who Resides at Address Listed Above
☐ 9. Determine Financial Background Info, i.e., Bankruptcy, Judgements, Liens, UCC filings, or Lawsuits
☐ 10. Determine Corporate Business Info, i.e., Officer, Director, Registered Agent ____ (Person/Business)
☐ 11. Customs Border Crossings / Subject query / I-94 info *(circle one)*
☐ 12. Federal Prison Inmate Information
☐ 13. Telemarketing Complaints

Reply From: FBI, Savannah Information Technology Center (SITC)

Return Reply To:
SAC, ____
Attention: ____
Based on search criteria, marked records are attached:
☐ Possible Identifiable Records ☐ Brief Synopsis of Information Found
☐ Other Peripheral Information ☐ No Information Found

AMOCO AND DATE IS 1993

Your search request has found 733 REPORTS through Level 1.
To DISPLAY these REPORTS press either the KWIC, FULL, CITE or SEGMTS key.
To MODIFY your search request, press the M key (for MODFY) and then the ENTER key.

For further explanation, press the H key (for HELP) and then the ENTER key.
Press Alt-H for Help or .SO to End Session or Alt-Q to Quit Software.

AMOCO AND DATE IS 1994

Your search request has found 1,049 REPORTS through Level 1.
To DISPLAY these REPORTS press either the KWIC, FULL, CITE or SEGMTS key.
To MODIFY your search request, press the M key (for MODFY) and then the ENTER key.

For further explanation, press the H key (for HELP) and then the ENTER key.
Press Alt-H for Help or .SO to End Session or Alt-Q to Quit Software.

AMOCO AND DATE IS 1995

Your search request has found 1,439 REPORTS through Level 1.
To DISPLAY these REPORTS press either the KWIC, FULL, CITE or SEGMTS key.
To MODIFY your search request, press the M key (for MODFY) and then the ENTER key.

For further explanation, press the H key (for HELP) and then the ENTER key.
Press Alt-H for Help or .SO to End Session or Alt-Q to Quit Software.

(06/01/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 07/10/1996

To: WMFO (NVMRA) **Attn:** SA [redacted]

From: Savannah ITC
Investigative Information Services Center (IISC)
Contact: [redacted] (912/944-0770) b6 b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 58A-WF-200802 ~~(Pending)~~

Title: CHEVRON
REQUEST #79007

Synopsis: To report results of request submitted to Savannah ITC.

Details: **IISC DATABASE PRINTOUTS HAVE BEEN SENT TO THE REQUESTER AND WILL BE MAINTAINED AS PERMANENT FILE MATERIAL IN THE OO CASE FILE.**

Results of inquiries are set forth below:

Enclosed are results of query of CHEVRON for SEC filings during the years 1993, 1994 and 1995. Results are far too numerous to print. Please resubmit request for a specific area/location or month/day in an efort to narrow search parameters.

**THIS IS PERMANENT FILE MATERIAL
AND IS TO BE MAINTAINED IN
THE OO CASE FILE.**

♦♦

7/15/96-Called [redacted] @ Savannah ITC - They will research for annual reports + anything w/ code words Caspian Sea, Khazakstan + Uzbekistan.

b6 b7C

CASE FILE COPY

SEARCHED [redacted] INDEXED
SERIALIZED [redacted] FILED
JUL 15 1996
FBI — WASH. METRO FIELD OFFICE
[redacted]

58A-WF-200802-51

FD-809e (Rev. 8-9-95)

INVESTIGATIVE INFORMATION REQUEST FORM

FBI, Savannah Information Technology Center
220 East Bryan Street
Savannah, Georgia 31401
▹ Commercial Telephone or FTS: (912) 944-0824 thru 0828
▹ FAX: (912) 231-1076 and (912) 231-0974
▹ Secure FAX & STU III: (912) 231-1075

ITC Use Only: SITC Record #: 79007
Date/Time In: 7/8 15:20 ☐ am ☐ pm
Date/Time Out: 7/9 1:23 pm ☐ am ☐ pm
Database(s) Used:
1. [ ] 5. ____ 9. ____
2. ____ 6. ____ 10. ____
3. ____
4. ____
Handled By: ____

b6
b7C

TO: FBI, SAVANNAH INFORMATION TECHNOLOGY CENTER

Date: 7/8/96
Forfeiture/Seizure Related: ☐ Type of Request: ☒ FAX ☐ Telcal ☐ Mail Reply: ☐ FAX ☐ Telcal ☒ Mail
Requestor: SA [ ] (Requestor Name is Required) Phone #: (202) 324-6172 FAX #: (202) 324-6420 UCFN: 58A-WF-200802 (UCFN (File #) is Required)
Office/RA: WMFO / NVMRA Precedence: ☒ ROUTINE ☐ PRIORITY ☐ IMMEDIATE
Approximate turnaround times (48 hrs) (24 hrs) (2 hrs)

SEARCH CRITERIA (Attach additional sheets if necessary)

Name - Last: CHEVRON First: ____ Middle: ____
Alias: ____ Sex: ___ DOB1: __/__/__ DOB2: __/__/__
SSAN1: ___-___-____ SSAN2: ___-___-____ Spouse: ____
Fugitive: ☐ Yes ☐ No Driver's License #: ____ State: ____

RESIDENCE

Street Address: ____ City/State: ____ Zip: ____ Phone: ____

BUSINESS

Business Name: ____ Street Address: ____
City/State: ____ Zip: ____ Phone: ____ Business ID#: ____

CHECK DESIRED SEARCH PARAMETERS (Please check only those that are needed)

☒ 1. Specific Information Desired ALL SEC FILINGS FOR YEARS 1993, 1994 AND 1995
☐ 2. Determine All Individuals Associated with Social Security Number(s)
☐ 3. Report Validity of Social Security Number
☐ 4. Determine Who is Associated with Telephone Number(s)
☐ 5. Determine Address of Business/Person (____ U.S. ____, ____, ____ State(s))
☐ 6. Determine Property Owned by Individual (____ U.S. ____, ____, ____ State(s))
☐ 7. Determine Who Owns Property Listed Above
☐ 8. Determine Who Resides at Address Listed Above
☐ 9. Determine Financial Background Info, i.e., Bankruptcy, Judgements, Liens, UCC filings, or Lawsuits
☐ 10. Determine Corporate Business Info, i.e., Officer, Director, Registered Agent ____ (Person/Business)
☐ 11. Customs Border Crossings / Subject query / I-94 info *(circle one)*
☐ 12. Federal Prison Inmate Information
☐ 13. Telemarketing Complaints

Reply From: FBI, Savannah Information Technology Center (SITC)

Return Reply To:
SAC, ____
Attention: ____
Based on search criteria, marked records are attached:
☐ Possible Identifiable Records ☐ Brief Synopsis of Information Found
☐ Other Peripheral Information ☐ No Information Found

CHEVRON AND DATE IS 1993

Your search request has found 787 REPORTS through Level 1.
To DISPLAY these REPORTS press either the KWIC, FULL, CITE or SEGMTS key.
To MODIFY your search request, press the M key (for MODFY) and then the ENTER key.

For further explanation, press the H key (for HELP) and then the ENTER key.
Press Alt-H for Help or .SO to End Session or Alt-Q to Quit Software.

CHEVRON AND DATE IS 1994

Your search request has found 1,235 REPORTS through Level 1.
To DISPLAY these REPORTS press either the KWIC, FULL, CITE or SEGMTS key.
To MODIFY your search request, press the M key (for MODFY) and then the ENTER key.

For further explanation, press the H key (for HELP) and then the ENTER key.
Press Alt-H for Help or .SO to End Session or Alt-Q to Quit Software.

CHEVRON AND DATE IS 1995

Your search request has found 1,464 REPORTS through Level 1.
To DISPLAY these REPORTS press either the KWIC, FULL, CITE or SEGMTS key.
To MODIFY your search request, press the M key (for MODFY) and then the ENTER key.

For further explanation, press the H key (for HELP) and then the ENTER key.
Press Alt-H for Help or .SO to End Session or Alt-Q to Quit Software.

FEDERAL BUREAU OF INVESTIGATION
FOI/PA
DELETED PAGE INFORMATION SHEET
FOI/PA# 1340797-000

Total Deleted Page(s) = 205
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Page 150 ~ b5; b6; b7C;
Page 151 ~ b5; b6; b7C;
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FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 7/3/96

[redacted] white female Date of Birth (DOB) [redacted] Social Security Account Number (SSAN) [redacted] home address [redacted] was advised of the official identities of the interviewing Agents and of the nature of inquiry. The interview was conducted in a conference room of the Department of Justice (DOJ), Public Integrity Section (PIS), 1400 New York Avenue, Northwest, Washington, D.C. Also present throughout the interview were PIS Trial Attorneys SUSAN J. PARK and BEA WITZLEBEN. Also in attendance was [redacted] from the National Security Council (NSC) [redacted]

b6
b7C

[redacted]

b5
b6
b7C

52

Investigation on 5/31/96 at Washington, D.C.

File # 58A-WF-200802

by SA [redacted] SA Date dictated 6/3/96

b6
b7C

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 7/3/96

[redacted] left a telephone message for the interviewing Agent at approximately 8:30 p.m., Friday, May 31, 1996, advising that after her interview earlier that day, she had

[redacted]

b5
b6
b7C

Investigation on 6/6/96 at Washington, D.C.

File # 58A-WF-200802

by SA [redacted]

Date dictated 6/6/96

FBI — WASH. METRO FIELD OFFICE
JUL 12 1996

[redacted]

b6
b7C

2036

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

U.S. Department of Justice

Federal Bureau of Investigation

7799 Leesburg Pike
Falls Church, Va. 22043
July 10, 1996

In Reply, Please Refer to
File No. 58A-WF-200802

Lee J. Radek, Chief
Public Integrity Section
Criminal Division
U. S. Department of Justice
Suite 1200
1400 New York Avenue, N.W.
Washington, D.C.

Dear Mr. Radek,

Enclosed please find copies of the following documents:

b5
b6
b7C

This office understands that SUSAN PARK and BEA WITZLEBEN of your staff have completed their review of the documents received from the National Security Council (NSC) and that a computer disc containing the chronology they prepared will be available for incorporation into the financial documents.

Sincerely,

WILLIAM C. MEGARY
Special Agent in Charge

by: WCM/R

Supervisory Special Agent

b6
b7C

58A-WF-200802-54

RECORDED SERIALIZED [ ] INDEXED FILED [ ]

JUL 12 1996

FBI — WASH. METRO FIELD OFFICE

FBI 3 (2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☒ Sensitive
- ☐ Unclassified

Time Transmitted: 1615
Sender's Initials: [redacted]
Number of Pages: 50
(including coversheet)

To: PUBLIC INTEGRITY SECTION
Name of Office

Date: 7-10-96

b6
b7C

Facsimile Number: 514-3003

Attn: _____
Name Room Telephone

From: WASHINGTON FIELD
Name of Office

Subject: [redacted]
SAMUEL BERGER

Special Handling Instructions: _____

Originator's Name: SA [redacted]

Telephone: (202) 324-6172

Originator's Facsimile Number: (202) 324-6426

Approved: [redacted]

b6
b7C

Brief Description of Communication Faxed: SBA - WF-200802 - 55

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED FILED
JUL 13 1996
FBI — WASH. METRO FIELD OFFICE
[redacted]

******* UF-250 ********** -JOURNAL- ********** DATE-JUL-10-1996 ***** TIME 18:19 ********

NO.	COM	DOC	DURATION	X/R	IDENTIFICATION	DATE	TIME	DIAGNOSTIC
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********** -

FD-4 3 (' 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☒ Sensitive
- ☐ Unclassified

Time Transmitted: 920
Sender's Initials:
Number of Pages: 23
(including coversheet)

To: PUBLIC INTEGRITY
Name of Office

Date: 7/12/96

b6
b7C

Facsimile Number: 514-3003

Attn: _____ 514-1456
Name Room Telephone

From: WMFO / NVMRA
Name of Office

Subject:

Special Handling Instructions:

58A-WF 200802-56

Originator's Name: SA _____ Telephone: 324-6172

Originator's Facsimile Number: 324-6426

Approved: _____

SEARCHED _____ INDEXED _____
SERIALIZED _____ FILED _____
JUL 1 3 1996
FBI — WASH. METRO FIELD OFFICE

b5
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Brief Description of Communication Faxed: RESEND OF

(1)

(2)

(3)

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 08/12/1996

To: WASHINGTON FIELD **Attn:** [redacted] Computer Services

From [redacted] SA [redacted]
Squad C-20 / NVMRA
Contact [redacted] SA [redacted] X6172

Approved By [redacted] b6 b7C

Drafted By: [redacted]

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: [redacted]
SAMUEL RICHARD BERGER,
AKA "SANDY" BERGER,
Special Assistant to the President
for National Security;
CFPO - COI

Synopsis: To request furnishing to Squad C-20 a computer system capable of processing [redacted]

Details: Captioned investigation entails allegations that [redacted] and BERGER failed to divest themselves of financial holdings in matters over which they exercised approvals and recommendations despite having been advised to divest of these holdings. Part of the material obtained to date includes 6E material which has been processed in normal means. However, a large amount of material has been obtained from [redacted] b3 b6 b7C b7E [redacted] information will be used to establish much of the evidence required to show each element of any possible violation. While not necessary to quote from, much of the material will be summarized and as such will be [redacted]. To accomplish this,

1 - [redacted] Computer Center
1 - Security Officer
1 - File

58A-WF-200802-60

GRAND JURY MATERIAL - DISSEMINATE ONLY PURSUANT TO RULE 6(e) FED.R.CRIM.P.

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED FILED
FBI — WASH. METRO FIEL [redacted]

To: WASHINGTON FIELD From: SA [redacted]
Re: 58A-WF-200802, 08/12/1996

it is necessary to have computer equipment which is capable of handling [redacted] Discussions with WMFO Security Officer [redacted] have determined that a computer with removable hard drive will suffice if placed in the secure facility currently being used to store this material. Rapid Start equipment do currently being used do not have normal word processing capability. Contact has been established with [redacted] WMFO Computer Room, who has been alerted to these needs.

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It is requested that a computer with removable hard drive capable of processing [redacted] be made available for this case as soon as possible.

CC: 1 - [redacted] Computer Center
1 - SA [redacted] Security Officer
1 - SSA [redacted]

♦♦

To: WASHINGTON FIELD From: SA [redacted]
Re: 58A-WF-200802, 08/12/1996

b6
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WORK COPY ROUTING SHEET

CC: 1 - [redacted] Computer Center
1 - SA [redacted] Security Officer
1 - SSA [redacted]

♦♦

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 08/12/1996

To: Pittsburgh
Criminal Investigative Division **Attn:** PCU

From: WMFO
C 20 NVMRA
Contact: SA [redacted] (202) 324-6172 b6 b7C

Approved By: [redacted]

Drafted By [redacted]

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: [redacted]
SAMUEL RICHARD BERGER,
AKA "SANDY" BERGER,
DEPUTY ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY,
CFPO-COI
OO:WMFO

Synopsis: To request interview at [redacted]

Enclosures: To CID and Pittsburgh are the following: b3 b6 b7C

1. [redacted]
2. [redacted]

1 - Bureau (Encls. 4)
1 - Pittsburgh (Encls. 4)
1 - WMFO (58A-WF-200802)

58A-WF-200802

SEARCHED [redacted] INDEXED [redacted] FILED [redacted] b6 b7C
FBI — WASH. METRO FIELD OFFICE

1

FEDERAL BUREAU OF INVESTIGATION

To: Pittsburgh, Criminal Investigative Division From: WMFO
Re: 58A-WF-200802, 08/12/1996

3. [redacted]

4. [redacted]

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Details: For the information of Pittsburgh, captioned matter was referred to WMFO by Public Integrity Section (PIS) of Department of Justice (DOJ) following a referral to it from the White House Counsel's Office. Succinctly this investigation involves [redacted] and Berger who are [redacted] and Deputy National Security Advisor and who at the time of entering on duty with the Federal Government on 1/20/93, filed initial financial disclosure forms which were subsequently reviewed by White House Counsel's Office. These financial disclosure forms showed that each of these individuals held a number of common stocks, some of which were in areas which were believed to pose a problem in terms of a potential conflict-of-interest due to these individuals' positions and actions on the National Security Counsel (NSC). Both men were subsequently advised to divest themselves of these stocks but both continued to hold these types of stocks (particularly oil and petroleum stocks) on a year after year basis. Finally, in the Summer of 1995, White House Counsel's Office advised they could no longer ignore the fact that these items had not yet been divested and referred the matter to DOJ.

A review of [redacted] The enclosed documents, however, were obtained via subpoena duces tecum from [redacted]

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b7C

[redacted]

[redacted] b3 b6 b7C

LEAD(s):

Set Lead 1:

PITTSBURGH

AT PITTSBURGH, PENNSYLVANIA

[redacted] b3 b6 b7C

♦♦

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 08/13/1996

To: CRIMINAL INVESTIGATIVE **Attn:** PCU
PHILADELPHIA

From: WASHINGTON FIELD
Squad C-20 NVMRA
Contact: SA [redacted] (202) 324-6172

Approved By: [redacted]

Drafted By: [redacted]

b6
b7C

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: [redacted]

SAMUEL RICHARD BERGER,
AKA "SANDY BERGER,
SPECIAL ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO - COI

Synopsis: To request clarifying reinterview of [redacted]

Details: [redacted] was previously interviewed by Philadelphia on 4/2/96. A review of the FD-302 of that interview shows that [redacted]

[redacted]

b3
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GRAND JURY MATERIAL - DISSEMINATE ONLY PURSUANT TO
RULE 6(e) FED.R.CRIM.P.

58A-WF-200802 - 62

SEARCHED [redacted]
SERIALIZED
AUG 14 1996
FBI — WASH. METRO FIELD OFFICE

12/87 Lead ltr

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 08/14/1996

To: CRIMINAL INVESTIGATIVE **Attn:** PCU
BALTIMORE
CHARLOTTE
CHICAGO
DALLAS
SAN FRANCISCO
TAMPA

From: WASHINGTON FIELD
Squad C-20 NVMRA
Contact: SA [redacted] X6172

Approved By: [redacted]

Drafted By: [redacted] b6 b7C

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: [redacted]
SAMUEL RICHARD BERGER,
AKA "SANDY" BERGER,
SPECIAL ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO - COI

Synopsis: To set forth requests for investigation

Details: For information of recipients, captioned matter was referred for investigation by White House Counsel's Office. That referral was made following discovery that subjects [redacted] and BERGER (who are currently [redacted] and Deputy Head of the National Security Council - NSC) failed to divest themselves of stocks despite having repeatedly been instructed to do so. Specifically, [redacted] and BERGER were advised to divest themselves and immediate family members of all holdings in the oil, petroleum and energy fields. The first of these warnings was issued at the time their initial financial disclosure forms (Form SF-278) were reviewed in early 1993. Subsequent filings of these forms show that the holdings continued through filings in 1995. b6 b7C

GRAND JURY MATERIAL - DISSEMINATE ONLY PURSUANT TO RULE 6(e) FED.R.CRIM.P.

Leads set

12/90

58A-WF-200802 — 63
SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
FBI — WASH. METRO FIELD OFFICE [redacted]

[redacted]

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Records obtained via subpoena duces tecum also show that [redacted]

To: CRIMINAL INVESTIGATIVE From: WASHINGTON FIELD
Re: 58A-WF-200802, 08/14/1996

LEAD(s):

Set Lead 1:

BALTIMORE

AT DOVER, DELAWARE

Will search articles of incorporation for AMOCO CASPIAN SEA CORPORATION and AMOCO EURASIA PETROLEUM CORPORATION to determine the nature of their corporate formations.

Set Lead 2:

CHARLOTTE

AT CHARLOTTE, NC

Will contact DUKE POWER to obtain copies of annual reports for years 1993, 1994 and 1995 in an effort to determine how DUKE POWER would be affected by actions cited above.

Set Lead 3:

CHICAGO

AT CHICAGO, ILLINOIS

Will contact AMOCO CORPORATION, 200 E. Randolph Drive, to obtain copies of annual reports for 1993, 1994 and 1995

Set Lead 4:

DALLAS

AT IRVING, TEXAS

Will contact EXXON CORPORATION, 5959 Las Colinas Boulevard, to obtain copies of annual report for years 1993, 1994 and 1995.

Set Lead 5:

SAN FRANCISCO

AT SAN FRANCISCO, CALIFORNIA

Will contact CHEVRON CORPORATION, 595 Market Street, to obtain copies of annual reports for years 1993, 1994 and 1995.

Set Lead 6:

TAMPA

AT TAMPA, FLORIDA

Will contact TECO ENERGY, c/o R. H. KESSEL, 702 N. Franklin Street, to obtain copies of annual reports for years 1993, 1994 and 1995 in an effort to determine how TECO ENERGY would have been affected by above actions.

♦♦

(06/01/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 08/28/1996

To: WMFO **Attn:** SA [redacted]

From: Baltimore
Squad 17/Dover RA
Contact: SA [redacted]

Approved By: [redacted]

Drafted By: [redacted]

b6
b7C

Case ID #: 58A-WF-200802 ~~(Pending)~~ -64

Title: [redacted]

SAMUEL RICHARD BERGER, aka
"Sandy" Berger,
Special Assistant to the President
For National Security;
CFPO - COI

Synopsis: Delaware corporate records were obtained.

Reference: 58A-WF-200802 Serial 63

Enclosures: Enclosed for WMFO is the original and two copies of three FD-302's.

Details: On August 28, 1996, Delaware corporate records for (1) Amoco Caspian Sea Petroleum Company, (2) Amoco Eurasia Oil Company, and (3) Amoco Eurasia Petroleum Company were obtained from the Division of Corporations, Delaware Secretary of State's Office, Dover, Delaware. Those records are attached to the enclosed FD-302's.

Because all requested investigation has been completed, Baltimore is considering Lead Number one in referenced communication as covered.

♦♦

SA [redacted]

58A-WF-200802 - 64

[redacted]

b6
b7C

SA [redacted] 1/96

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 8/28/96

[redacted] Dover, Delaware, telephone number [redacted] was contacted at her place of employment. After being advised of the identity of the interviewing agent, she provided the following information:

[redacted] advised that AMOCO CASPIAN SEA PETROLEUM COMPANY, file number 2295562, was incorporated in Delaware on April 24, 1992. The Incorporator is listed as [redacted] 200 E. Randolph Drive, Chicago, Illinois. The Delaware Registered Agent is The Corporation Trust Company, Corporation Trust Center, 1209 Orange Street, Wilmington, Delaware. b6 b7C

[redacted] advised that AMOCO CASPIAN SEA PETROLEUM COMPANY is "active and in good standing." In order for a Delaware Corporation to remain "active and in good standing" it must file an Annual Franchise Tax Report, due March 1 of each year. [redacted] provided copies of the four most recent Annual Franchise Tax Reports for AMOCO CASPIAN SEA PETROLEUM COMPANY. They include the 1992, 1993, 1994, and 1995 reports. The 1996 Annual Franchise Tax Report is not due until March 1, 1997.

[redacted] provided copies of the above described documents, which are attached hereto.

15

Investigation on 8/28/96 at Dover, Delaware File # 58A-WF-200802

by SA [redacted] Date dictated 8/28/96 b6 b7C

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

STATE OF DELAWARE
SECRETARY OF STATE
DIVISION OF CORPORATIONS
FILED 10:00 AM 04/24/1992
732115006 - 2295562

CERTIFICATE OF INCORPORATION

OF

AMOCO CASPIAN SEA PETROLEUM COMPANY

* * * * *

FIRST: The name of the corporation is

AMOCO CASPIAN SEA PETROLEUM COMPANY

SECOND: The address of its registered office in the State of Delaware is Corporation Trust Center, 1209 Orange Street, in the City of Wilmington, County of New Castle. The name of its registered agent at such address is The Corporation Trust Company.

THIRD: The nature of the business or purposes to be conducted or promoted is:

To establish and maintain an oil business with authority to contract for the lease and purchase of the right to prospect for, develop and use coal and other minerals, petroleum and gas; also the right to erect, build and own all necessary oil tanks, cars and pipes necessary for the operation of the business of the same.

To acquire by purchase, lease or otherwise, and to mortgage, pledge, lease, sell, or otherwise dispose of, lands and/or the oil, gas and/or mineral rights in lands for the purpose of producing therefrom oil, gas and/or other volatile or mineral substances, and to hold, own, develop, operate, dispose of or in any way use the said lands and/or theoil, gas and/or mineral rights therein; to develop such lands by and to enter into, acquire, carry on and execute contracts for, drilling wells and installation of plants, machinery and appliances, and to dispose of the products therefrom either as a raw product or otherwise

and to refine and reduce and prepare said products for market and to manufacture from said products any and all marketable commodities.

To conduct, carry out and perform geological, geophysical and any other type of exploration of land or water areas for oil, gas, mining and any other purposes, for itself and for others, and to make, execute, perform and carry out contracts therefor.

To drill for, mine for, prepare, process, produce, manufacture, refine, adapt, buy, sell, distribute and otherwise deal in petroleum and other oils, vegetable substances, mineral or volatile substances, asphalt, bitumen and bituminous substances of all kinds, and any and all products, by-products and residual products therefrom, including the manufacturing, buying, selling and otherwise dealing in, both wholesale and retail, gasoline and illuminating and other similar oils; to acquire, sink, own, maintain, operate and develop oil and gas wells and prepare, adapt, utilize, buy, sell and otherwise deal in and with the products thereof and therefrom in such manner as may be advantageous or profitable, and to transact any and all other business pertinent, collateral, incidental or contributory to any of the purposes aforesaid.

To manufacture, drill for, mine for, produce, use, and sell artificial or natural gas, or both, or any mixture of the two, for light, heat, power and other purposes and also to produce, acquire, use, sell, distribute and treat the products, by-products and residual products therefrom and to construct or in any manner acquire, maintain, operate, encumber, sell or in any manner dispose of works therefor; and to transact any and all other business pertinent, collateral, incidental or contributory to any of the purposes aforesaid.

To construct, lay, purchase or in any manner acquire, and to maintain and operate, and to sell, encumber or in any manner dispose of plants, refineries, systems, works, appliances, tank structures, equipment, machinery, pipe-lines, gas mains and buildings and other facilities and equipment, for the manufacture, treating, concentrating, processing, refining, use, sale, distribution and transportation of petroleum and other oils, natural and/or artificial and mixed gas for

light, heat, power and other purposes, and their products, by-products and residual products, in, over, through or under any streets, alleys, roads, highways or other public places, or in, over, through or under any private or public property (subject, however, to the consent of governmental of municipal authorities when the same may be required by law).

To do a general mining business; to purchase, take, lease or otherwise acquire, hold, own, control, mine, develop, operate, mortgage, pledge, sell, transfer, or in any manner dispose of mineral or coal properties, together with the veins or seams of coal, iron ore or other minerals situated therein and the works, mining properties, rights or effects connected therewith, and collieries, smelters and refineries, together with the warehouses, wharves, cars, ships, vessels, steam boats, or other means of transportation by land or water, stock in trade, fixed and movable, plants, machinery and other property and effects appurtenant and belonging thereto, and all or any other works or property held in connection therewith.

To acquire by purchase or otherwise, hold, own, sell, lease, assign, transfer, convey, mortgage, encumber and otherwise to deal in and with grants, franchises, easements, concessions, licenses (including but not limited to oil exploration licenses and oil prospecting licenses), leases (including but not limited to oil mining leases), good will, rights and privileges of every kind and nature, or any interest therein, necessary or incidental in carrying out the purposes of this corporation and to explore, develop, operate and exploit the same or to cause or permit the same to be explored, developed, operated or exploited by others.

To manufacture, purchase or otherwise acquire, own, mortgage, pledge, sell, assign and transfer, or otherwise dispose of, to invest, trade, deal in and deal with, goods, wares, merchandise, commodities, equipment, supplies, and personal property of every class and description.

To acquire, hold, use, sell, assign, lease, grant licenses in respect of, mortgage or otherwise dispose of letters patent of the

United States or any foreign country, patent rights, licenses and privileges, inventions, formulae, improvements and processes, copyrights, trademarks and trade names, relating to or useful in connection with any business of this corporation.

To purchase or otherwise acquire the whole or any part of the property, assets, business, good will and rights and to undertake or assume the whole or any part of the bonds, mortgages, franchises, leases, contracts, indebtedness, guaranties, liabilities and obligations of any person, firm, association, corporation or organization, and to pay for the same or any part of combination thereof in cash, shares of the capital stock, bonds, debentures, debenture stock, notes, or other obligations of the corporation or otherwise, or by undertaking and assuming the whole or any part of the liabilities or obligations of the transferor; and to hold or in any manner dispose of the whole or any part of the business so acquired and to exercise all the powers necessary or convenient in and about the conduct, management and carrying on of such business.

To enter into, make, perform and carry out contracts of every kind, for any lawful purpose, without limit as to amount, with any person, firm, association or corporation.

To borrow or raise moneys for any of the purposes of the corporation and, from time to time without limit as to amount, to draw, make, accept, endorse, execute and issue promissory notes, drafts, bills of exchange, warrants, bonds, debentures and other negotiable or non-negotiable instruments and evidences of indebtedness, and to secure the payment of any thereof and of the interest thereon by mortgage upon or pledge, conveyance or assignment in trust of the whole or any part of the property of the corporation, whether at the time owned or thereafter acquired, and to sell, pledge or otherwise dispose of such bonds or other obligations of the corporation for its corporate purposes.

To purchase, subscribe for, acquire, own, hold, sell, exchange, assign, transfer, mortgage, pledge or otherwise dispose of shares or voting trust certificates for shares of the capital stock, or any bonds, notes, securities or evidences of indebtedness created by any

other corporation or corporations organized under the laws of this state or any other state or district or country, nation or government and also bonds or evidences of indebtedness of the United States or of any state, district, territory, dependency or country of subdivision or municipality thereof; to issue in exchange therefor shares of the capital stock, bonds, notes or other obligations of the corporation and while the owner thereof to exercise all the rights, powers and privileges of ownership including the right to vote on any shares of stock or voting trust certificates so owned; to promote, lend money to and guarantee the dividends, stocks, bonds, notes, evidences of indebtedness, contracts or other obligations of and otherwise aid in any manner which shall be lawful any corporation or association of which any bonds, stocks, voting trust certificates, or other securities or evidences of indebtedness shall be held by or for this corporation or in which, or in the welfare of which, this corporation shall have any interest, and to do any acts and things permitted by law and designed to protect, preserve, improve or enhance the value of any such bonds, stocks or other securities or evidences of indebtedness or the property of this corporation.

To organize or cause to be organized under the laws of the State of Delaware, or of any other state, district, territory, nation, colony, province or government, a corporation or corporations for the purpose of accomplishing any or all of the objects for which the corporation is organized, and to dissolve, wind up, liquidate, merge or consolidate any such corporation or corporations or to cause the same to be dissolved, wound up, liquidated, merged or consolidated.

To purchase, hold, sell and transfer the shares of its own capital stock; provided it shall not use its funds or property for the purchase of its own shares of capital stock when such use would cause any impairment of its capital except as otherwise permitted by law, and provided further that shares of its own capital stock belonging to it shall not be voted upon directly or indirectly.

To have one or more offices, to carry on all or any of its operations and business and without restriction or limit as to amount to

purchase or otherwise dispose of real and personal property of every class and description in any of the States, Districts, Territories or Colonies of the United States, and in any and all foreign countries, subject to the laws of such State, District, Territory, Colony or Country.

In general, to carry on any other business in connection with the foregoing, and to have and exercise all the powers conferred by the laws of Delaware upon corporations formed under the act hereinafter referred to, and to do any or all of the things hereinbefore set forth to the same extent as natural persons might or could do.

The objects and purposes specified in the foregoing clauses shall, except where otherwise expressed, be in nowise limited or restricted by reference to, or inference from, the terms of any other clause in this certificate of incorporation, but the objects and purposes specified in each of the foregoing clauses of this article shall be regarded as independent objects and purposes.

FOURTH: The total number of shares of Common Stock which the corporation shall have authority to issue is one thousand (1,000) and the par value of each of such shares is One Hundred Dollars amounting in the aggregate to One Hundred Thousand Dollars ($100,000).

FIFTH: The name and mailing address of the sole incorporator is as follows:

NAME	MAILING ADDRESS
M. S. Haskins	200 East Randolph Drive Chicago, Illinois 60601

SIXTH: The corporation is to have perpetual existence.

SEVENTH: In further and not in limitation of the powers conferred by statute, the board of directors is expressly authorized:

To make, alter or repeal the by-laws of the corporation.

To authorize and cause to be executed mortgages and liens upon the real and personal property of the corporation.

To set apart out of any of the funds of the corporation available for dividends a reserve or reserves for any proper purpose and to abolish any such reserve in the manner in which it was created.

By resolution passed by a majority of the whole board, to designate one or more committees, each committee to consist of two or more of the directors of the corporation, which, to the extent provided in the resolution or in the by-laws of the corporation, shall have and may exercise the powers of the board of directors in the management of the business and affairs of the corporation, and may authorize the seal of the corporation to be affixed to all papers which may require it. Such committee or committees shall have such name or names as may be stated in the by-laws of the corporation or as may be determined from time to time by resolution adopted by the board of directors.

When and as authorized by the affirmative vote of the holders of a majority of the stock issued and outstanding having voting power given at a stockholders' meeting duly called for that purpose, or when authorized by the written consent of the holders of a majority of the voting stock issued and outstanding, to sell, lease or exchange all of the property and assets of the corporation, including its good will and its corporate franchises, upon such terms and conditions and for such consideration, which may be in whole or in part shares of stock in, and/or other securities of, any other corporation or corporations, as its board of directors shall deem expedient and for the best interests of the corporation.

EIGHTH: Whenever a compromise or arrangement is proposed between this corporation and its creditors or any class of them and/or between this corporation and its stockholders or any class of them, any court of equitable jurisdiction within the State of Delaware may, on the application in a summary way of this corporation or of any creditor or stockholder thereof or on the application of any receiver or receivers appointed for this corporation under the provisions of Section 291 of Title 8 of the Delaware Code or on the application of trustees in dissolution or of any receiver or receivers appointed for this

corporation under the provisions of Section 279 of Title 8 of the Delaware Code order a meeting of the creditors or class of creditors, and/or of the stockholders or class of stockholders of this corporation, as the case may be, to be summoned in such manner as the said court directs. If a majority in number representing three-fourths in value of the creditors or class of creditors, and/or of the stockholders or class of stockholders of this corporation, as the case may be, agree to any compromise or arrangement and to any reorganization of this corporation as consequence of such compromise or arrangement, the said compromise or arrangement and the said reorganization shall, if sanctioned by the court to which the said application has been made, be binding on all the creditors or class of creditors, and/or on all the stockholders or class of stockholders, of this corporation, as the case may be, and also on this corporation.

NINTH: Meetings of stockholders may be held within or without the State of Delaware, as the by-laws may provide. The books of the corporation may be kept (subject to any provision contained in the statutes) outside the State of Delaware at such place or places as may be designated from time to time by the board of directors or in the by-laws of the corporation.

TENTH: The corporation reserves the right to amend, alter, change or repeal any provision contained in this certificate of incorporation, in the manner now or hereafter prescribed by statute, and all rights conferred upon stockholders herein are granted subject to this reservation.

I, THE UNDERSIGNED, being the sole incorporator hereinbefore named, for the purpose of forming a corporation pursuant to the General Corporation Law of the State of Delaware, does make this certificate, hereby declaring and certifying that this is my act and deed and the facts herein stated are true, and accordingly have hereunto set my hand this 22nd day of April, 1992.

H. S. Haskins

H. S. Haskins

STATE OF ILLINOIS)
) ss:
COUNTY OF COOK)

BE IT REMEMBERED that on this 22nd day of April, A. D. 1992, personally came before me, a Notary Public for the State of Illinois, M. S. Haskins the sole party to the foregoing certificate of incorporation, known to me personally to be such, and severally acknowledged the said certificate to be the act and deed of the signer respectively and that the facts therein stated are truly set forth.

GIVEN under my hand and seal of office the day and year aforesaid.

Berdia L. Milton
Notary Public

"OFFICIAL SEAL"
BERDIA L. MILTON
Notary Public, State of Illinois
My Commission Expires June 2, 1992

Filed: 02/22/93
Franchise Tax
State of Delaware

039197

STATE OF DELAWARE
1992 ANNUAL FRANCHISE TAX REPORT

DO NOT ALTER FILE NUMBER

FILE NUMBER	CORPORATION NAME	FEDERAL EMPLOYER ID NO.
2295562	AMOCO CASPIAN SEA PETROLEUM COMPANY	36-3833237

PHONE NUMBER	INCORPORATION DATE	RENEWAL / REVOCATION DATE	DATE OF INACTIVITY:	FROM / /	TO / /
	APRIL 24, 1992				

AUTHORIZED STOCK BEGIN DATE	ENDING DATE	DESIGNATION OR STOCK CLASS	NO. OF SHARES	PAR VALUE / SHARE	NO. SHARES ISSUED	TOTAL GROSS ASSETS	ASSET DATE	ASSETS FOR REGULATED INVESTMENT CORPS
04/24/92		COMMON	1,000	100.000000				Jan. 1st / Dec. 31st

FRANCHISE TAX	$50.00 PENALTY	1.5% MONTHLY INTEREST	QUARTERLY INTEREST	ANN. FILING FEE	PREV CREDIT OR BALANCE	PREPAID QRTY. PAYMENTS	AMOUNT DUE
$ 30.00	$ .00	$ .00	$ .00	$ 20.00	$ .00	$ .00	$ 50.00

REGISTERED AGENT 9000010
THE CORPORATION TRUST COMPANY
CORPORATION TRUST CENTER
1209 ORANGE STREET
WILMINGTON, DE 19801

[redacted]

MAKE CHECK PAYABLE TO:
DELAWARE SECRETARY OF STATE

CHECK NO.	AMOUNT ENCLOSED
648571	$50.00

$50.00 PENALTY if not Received on or before March 1, 1993

b7E

NATURE OF BUSINESS	PRINCIPAL PLACE OF BUSINESS OUTSIDE OF DELAWARE
OIL & GAS	200 East Randolph Drive, Chicago, Illinois 60601
APPOINTED DATE OF NEXT ANNUAL MEETING OF STOCKHOLDERS TO ELECT DIRECTORS (MM/DD/YY) 02 / 02 / 94	

DIRECTORS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1.		P.O. Box 3092, Houston, TX 77253-3092	FEB 2 1994
2.		P.O. Box 3092, Houston, TX 77253-3092	FEB 2 1994
3.		0 East Randolph Drive, Chicago, Illinois 606[illegible]	FEB 2 1994
4.			

OFFICERS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1. PRESIDENT		P.O. Box 3092, Houston, TX 77253-3092	FEB 2 1994
2. VICE PRES.		P.O. Box 3092, Houston, TX 77253-3092	FEB 2 1994
3. TREASURER		0 East Randolph Drive, Chicago, Illinois	FEB 2 1994
4. ASST. SEC.		0 East Randolph Drive, Chicago, Illinois 60601	FEB 2 1994

ORIG	CTOR OR (INCORPORATOR)	TITLE	DATE
X		Assistant Secretary	2/18/93

b6
b7C

041317

STATE OF DELAWARE
1993 ANNUAL FRANCHISE TAX REPORT

DO NOT ALTER FILE NUMBER

FILE NUMBER	CORPORATION NAME	PHONE NUMBER
2295562	AMOCO CASPIAN SEA PETROLEUM COMPANY	

FEDERAL EMPLOYER ID NO.	INCORPORATION DATE	RENEWAL / REVOCATION DATE	DATE OF INACTIVITY:	FROM	TO
36-3833237	APRIL 24, 1992			/ /	/ /

AUTHORIZED STOCK BEGIN DATE	ENDING DATE	DESIGNATION OR STOCK CLASS	NO. OF SHARES	PAR VALUE / SHARE	NO. SHARES ISSUED	TOTAL GROSS ASSETS	ASSET DATE	ASSETS FOR REGULATED INVESTMENT CORPS
04/24/92		COMMON	1,000	100.000000				Jan. 1st / Dec. 31st

FRANCHISE TAX	$50.00 PENALTY	1.5% MONTHLY INTEREST	QUARTERLY INTEREST	ANN. FILING FEE	PREV CREDIT OR BALANCE	PREPAID QRTY. PAYMENTS	AMOUNT DUE
$ 30.00	$ .00	$ .00	$ .00	$ 20.00	$ .00	$ .00	$ 50.00

REGISTERED AGENT 9000010
THE CORPORATION TRUST COMPANY
CORPORATION TRUST CENTER
1209 ORANGE STREET
WILMINGTON, DE 19801

[redacted]

MAKE CHECK PAYABLE TO:
DELAWARE SECRETARY OF STATE

CHECK NO.	AMOUNT ENCLOSED
0001176841	50.00

$50.00 PENALTY if not Received on or before
March 1, 1994

b7E

NATURE OF BUSINESS	PRINCIPAL PLACE OF BUSINESS OUTSIDE OF DELAWARE
Oil + Gas	200 East Randolph Drive, Chicago, Illinois 60601

SEND INVOICE AND PAYMENT ONLY - NO ATTACHMENTS - NO ADDITIONAL PAGES

DIRECTORS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1.		P.O. Box 3092, Houston, TX 77253-3092	2-1-95
2.		P.O. Box 3092, Houston, TX 77253-3092	2-1-95
3.		200 East Randolph Drive, Chicago, IL 60601	2-1-95
4.			
5.			
6.			

OFFICERS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1. President		P.O. Box 3092, Houston, TX 77253-3092	2-1-95
2. Assistant Secretary		200 East Randolph Drive, Chicago, Illinois 60601	2-1-95

X	RECTOR OR INCORPORATOR)	TITLE	DATE
		Assistant Secretary	2/4/94

b6
b7C

11357

STATE OF DELAWARE
1994 ANNUAL FRANCHISE TAX REPORT

DO NOT ALTER FILE NUMBER

FILE NUMBER	CORPORATION NAME	FEDERAL EMPLOYER ID NO.
2295562	AMOCO CASPIAN SEA PETROLEUM COMPANY	36-3833237

PHONE NUMBER	INCORPORATION DATE	RENEWAL / REVOCATION DATE	DATE OF INACTIVITY:	FROM / /	TO / /
	APRIL 24, 1992				

AUTHORIZED STOCK BEGIN DATE	ENDING DATE	DESIGNATION OR STOCK CLASS	NO. OF SHARES	PAR VALUE / SHARE	NO. SHARES ISSUED	TOTAL GROSS ASSETS	ASSET DATE	ASSETS FOR REGULATED INVESTMENT CORPS
04/24/92		COMMON	1,000	100.000000				Jan. 1st / Dec. 31st

FRANCHISE TAX	$50.00 PENALTY	1.5% MONTHLY INTEREST	QUARTERLY INTEREST	ANN. FILING FEE	PREV CREDIT OR BALANCE	PREPAID QRTY. PAYMENTS
$ 30.00	$ .00	$ .00	$	$ 20.00	$ .00	$

AMOUNT DUE
$ 50.00

REGISTERED AGENT 9000010
THE CORPORATION TRUST COMPANY
CORPORATION TRUST CENTER
1209 ORANGE STREET
WILMINGTON, DE 19801

MAKE CHECK PAYABLE TO:
DELAWARE SECRETARY OF STATE

CHECK NO.	AMOUNT ENCLOSED
1044037	$50.00

$50.00 PENALTY if not Received on or before **March 1, 1995. Plus 1.5% interest per month.**

b7E

NATURE OF BUSINESS	PRINCIPAL PLACE OF BUSINESS OUTSIDE OF DELAWARE
Oil and Gas	200 East Randolph Drive, Chicago, Illinois 60601

SEND INVOICE AND PAYMENT ONLY - NO ATTACHMENTS - NO ADDITIONAL PAGES

DIRECTORS	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1.	P.O. Box 3092, Houston, TX 77253	2-1-96
2.	200 E. Randolph Drive, Chicago, IL 60601	2-1-96
3.	200 E. Randolph Drive, Chicago, IL 60601	2-1-96
4.		
5.		
6.		

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b7C

OFFICERS	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1. President	200 E. Randolph Drive, Chicago, IL 60601	2-1-96
2. Assistant Secretary	200 E. Randolph Drive, Chicago, IL 60601	2-1-96

ORIGIN	OR OR INCORPORATOR)	TITLE	DATE
X		Assistant Secretary	1/25/96

037539

STATE OF DELAWARE
1995 ANNUAL FRANCHISE TAX REPORT

DO NOT ALTER FILE NUMBER

FILE NUMBER	CORPORATION NAME	PHONE NUMBER
2295562	AMOCO CASPIAN SEA PETROLEUM COMPANY	

FEDERAL EMPLOYER ID NO.	INCORPORATION DATE	RENEWAL / REVOCATION DATE	DATE OF INACTIVITY: FROM	TO
36-3833237	APRIL 24, 1992		/ /	/ /

AUTHORIZED STOCK BEGIN DATE	ENDING DATE	DESIGNATION OR STOCK CLASS	NO. OF SHARES	PAR VALUE / SHARE	NO. SHARES ISSUED	TOTAL GROSS ASSETS	ASSET DATE	ASSETS FOR REGULATED INVESTMENT CORPS
04/24/92		COMMON	1,000	100.000000				Jan. 1st / Dec. 31st

FRANCHISE TAX	$50.00 PENALTY	1.5% MONTHLY INTEREST	ANNUAL FILING FEE	PREVIOUS CREDIT OR BALANCE	PREPAID QUARTERLY PAYMENTS
$ 30.00	$ .00	$ .00	$ 20.00	$ .00	$

AMOUNT DUE
$ 50.00

REGISTERED AGENT 9000010
THE CORPORATION TRUST COMPANY
CORPORATION TRUST CENTER
1209 ORANGE STREET
WILMINGTON, DE 19801

MAKE CHECK PAYABLE TO:
DELAWARE SECRETARY OF STATE

CHECK NO.	AMOUNT ENCLOSED
1738619	$ 50.00

$50.00 PENALTY if not Received on or before March 1, 1996. Plus 1.5% interest per month.

b7E

NATURE OF BUSINESS	PRINCIPAL PLACE OF BUSINESS OUTSIDE OF DELAWARE
Oil and Gas	200 East Randolph Drive, Chicago, Illinois 60601

SEND INVOICE AND PAYMENT ONLY - NO ATTACHMENTS - NO ADDITIONAL PAGES

DIRECTORS		STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1.		P.O. Box 3092, Houston, TX 77253	2-5-97
2.		P.O. Box 3092, Houston, TX 77253	2-5-97
3.		200 E. Randolph Drive, Chicago, IL 60601	2-5-97
4.			
5.			
6.			

FOR BANK USE ONLY

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OFFICERS		STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1. President		200 E. Randolph Drive, Chicago, IL 60601	2-5-97
2. Assistant Secretary		200 E. Randolph Drive, Chicago, IL 60601	2-5-97

ORIGIN	INCORPORATOR)	TITLE	DATE
X		Assistant Secretary	1/30/96

FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 8/28/96

[redacted] Dover, Delaware, telephone number [redacted] was contacted at her place of employment. After being advised of the identity of the interviewing agent, she provided the following information:

[redacted] advised that AMOCO EURASIA OIL COMPANY, file number 2329442, was incorporated in Delaware on March 18, 1993. The Incorporator is listed as [redacted] 200 East Randolph Drive, Chicago, Illinois. The Delaware Registered Agent is The Prentice-Hall Corporation System, Inc., 1013 Centre Street, Wilmington, Delaware. b6 b7C

[redacted] advised that AMOCO EURASIA OIL COMPANY is "active and in good standing." In order for a Delaware Corporation to remain "active and in good standing" it must file an Annual Franchise Tax Report, due March 1 of each year. [redacted] provided copies of the three most recent Annual Franchise Tax Reports for AMOCO EURASIA OIL COMPANY. They include the 1993, 1994, and 1995 reports. The 1996 Annual Franchise Tax Report is not due until March 1, 1997.

[redacted] provided copies of the above described documents, which are attached hereto.

-66

Investigation on 8/28/96 at Dover, Delaware File # 58A-WF-200802

by SA [redacted] Date dictated 8/28/96 b6 b7C

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

STATE OF DELAWARE
SECRETARY OF STATE
DIVISION OF CORPORATIONS
FILED 09:00 AM 03/18/1993
753077051 - 2329442

CERTIFICATE OF INCORPORATION

OF

AMOCO EURASIA OIL COMPANY

* * * * *

The undersigned, a natural person, for the purpose of organizing a corporation for conducting the business and provisions and subject to the requirements of the laws of the State of Delaware (particularly Chapter 1, Title 8 of the Delaware Code and the acts amendatory thereof and supplemental thereto, and known, identified, and referred to) hereby certifies that:

FIRST: The name of the corporation (hereinafter called the "corporation") is:

AMOCO EURASIA OIL COMPANY.

SECOND: The address, including street, number, city, and county, of the registered office of the corporation in the State of Delaware is Suite L-100, 32 Loockerman Square, City of Dover, 19901, County of Kent; and the name of the registered agent of the corporation in the State of Delaware at such address is The Prentice-Hall Corporation System, Inc.

THIRD: The purpose of the corporation is to engage in any lawful act or activity for which corporations may be organized under the General Corporation Law of the State of Delaware.

FOURTH: The total number of shares of stock which the corporation shall have authority to issue is One Thousand (1,000). The par value of each of such shares is One Dollar ($1.00). All such shares are of one class and are shares of common stock.

FIFTH: The name and mailing address of the incorporator is as follows:

NAME	MAILING ADDRESS
M. J. Gallo	200 East Randolph Drive Chicago, IL 60601

SIXTH: The corporation is to have perpetual existence.

SEVENTH: Whenever a compromise or arrangement is proposed between this corporation and its creditors or any class of them and/or between this corporation and its stockholders or any class of them, any court of equitable jurisdiction within the State of Delaware may, on the application in a summary way of this corporation or of any creditor or stockholder thereof or on the

application of any receiver or receivers appointed for this corporation under §291 of Title 8 of the Delaware Code or on the application of trustees in dissolution or of any receiver or receivers appointed for this corporation under §279 of Title 8 of the Delaware Code order a meeting of the creditors or class of creditors, and/or of the stockholders or class of stockholders of this corporation, as the case may be, to be summoned in such manner as the said court directs. If a majority in number representing three-fourths in value of the creditors or class of creditors, and/or of the stockholders or class of stockholders of this corporation, as the case may be, agree to any compromise or arrangement and to any reorganization of this corporation as consequence of such compromise or arrangement, the said compromise or arrangement and the said reorganization shall, if sanctioned by the court to which the said application has been made, be binding on all the creditors or class of creditors, and/or on all the stockholders or class of stockholders, of this corporation, as the case may be, and also on this corporation.

EIGHTH: For the management of the business and for the conduct of the affairs of the corporation, and in further definition, limitation, and regulation of the powers of the corporation and of its directors and of its stockholders or any class thereof, as the case may be, it is further provided:

1. The management of the business and the conduct of the affairs of the corporation shall be vested in its Board of Directors. The number of directors which shall constitute the whole Board of Directors shall be fixed by, or in the manner provided in, the Bylaws. The phrase "whole Board" and the phrase "total number of directors" shall be deemed to have the same meaning, to wit, the total number of directors which the corporation would have if there were no vacancies. No election of directors need be by written ballot.

2. After the original or other Bylaws of the corporation have been adopted, amended, or repealed, as the case may be, in accordance with the provisions of §109 of the General Corporation Law of the State of Delaware, and, after the corporation has received any payment for any of its stock, the power to adopt, amend, or repeal the Bylaws of the corporation may be exercised by the Board of Directors of the corporation; provided, however, that any provision for the classification of directors of the corporation for staggered terms pursuant to the provisions of subsection (d) of §141 of the General Corporation Law of the State of Delaware shall be set forth in an initial Bylaw or in a Bylaw adopted by the stockholders entitled to vote of the corporation unless provisions

for such classification shall be set forth in this Certificate of Incorporation.

3. Whenever the corporation shall be authorized to issue only one class of stock, each outstanding share shall entitle the holder thereof to notice of, and the right to vote at, any meeting of stockholders. Whenever the corporation shall be authorized to issue more than one class of stock, no outstanding share of any class of stock which is denied voting power under the provisions of the Certificate of Incorporation shall entitle the holder thereof to the right to vote at any meeting of stockholders except as the provisions of paragraph (2) of subsection (b) of §242 of the General Corporation Law of the State of Delaware shall otherwise require; provided, that no share of any such class which is otherwise denied voting power shall entitle the holder thereof to vote upon the increase or decrease in the number of authorized shares of said class.

NINTH: The personal liability of the directors of the corporation is hereby eliminated to the fullest extent permitted by paragraph (7) of subsection (b) of §102 of the General Corporation Law of the State of Delaware, as the same may be amended and supplemented.

TENTH: The corporation shall, to the fullest extent permitted by §145 of the General Corporation Law of the State of Delaware, as the same may be amended and supplemented, indemnify any and all persons whom it shall have power to indemnify under said section from and against any and all of the expenses, liabilities, or other matters referred to in or covered by said section, and the indemnification provided for herein shall not be deemed exclusive of any other rights to which those indemnified may be entitled under any Bylaw, agreement, vote of stockholders or disinterested directors or otherwise, both as to action in his official capacity and as to action in another capacity while holding such office, and shall continue as to a person who has ceased to be a director, officer, employee, or agent and shall inure to the benefit of the heirs, executors, and administrators of such a person.

ELEVENTH: From time to time any of the provisions of this Certificate of Incorporation may be amended, altered, or repealed, and other provisions authorized by the laws of the State of Delaware at the time in force may be added or inserted in the manner and at the time prescribed by said laws, and all rights at any time conferred upon the stockholders of the corporation by this Certificate of Incorporation are granted subject to the provisions of this Article ELEVENTH.

Signed on March 16, 1993.

M. J. Gallo, Incorporator

102175

STATE OF DELAWARE
1993 ANNUAL FRANCHISE TAX REPORT

DO NOT ALTER FILE NUMBER

FILE NUMBER	CORPORATION NAME	FEDERAL EMPLOYER ID NO.
2329442	AMOCO EURASIA OIL COMPANY	36-3883414

PHONE NUMBER	INCORPORATION DATE	RENEWAL / REVOCATION DATE	DATE OF INACTIVITY: FROM / / TO / /
	03/18/1993		

AUTHORIZED STOCK BEGIN DATE	AUTHORIZED STOCK ENDING DATE	DESIGNATION OR STOCK CLASS	NO. OF SHARES	PAR VALUE / SHARE	NO. SHARES ISSUED	TOTAL GROSS ASSETS	ASSET DATE	ASSETS FOR REGULATED INVESTMENT CORPS
03/18/93		COMMON	1,000	1.000000				Jan. 1st / Dec. 31st

FRANCHISE TAX	$50.00 PENALTY	1.5% MONTHLY INTEREST	QUARTERLY INTEREST	ANN. FILING FEE	PREV. CREDIT OR BALANCE	PREPAID QRTY. PAYMENTS	AMOUNT DUE
$ 30.00	$ .00	$ .00	$ .00	$ 20.00	$ .00	$ .00	$ 50.00

Registered Agent 9000012
THE PRENTICE-HALL CORPORATION SYSTEM, INC.
32 LOOCKERMAN SQUARE
SUITE L-100
DOVER, DE 19901

[redacted]

MAKE CHECK PAYABLE TO:
DELAWARE SECRETARY OF STATE

CHECK NO.	AMOUNT ENCLOSED
0001180813	50.00

b7E

$50.00 PENALTY if not Received on or before March 1, 1994.

NATURE OF BUSINESS	PRINCIPAL PLACE OF BUSINESS OUTSIDE OF DELAWARE
Refining, Marketing & Transportation of Petroleum Products	200 East Randolph Drive, Chicago, Illinois 60601

SEND INVOICE AND PAYMENT ONLY — NO ATTACHMENTS — NO ADDITIONAL PAGES

DIRECTORS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1.		200 East Randolph Drive, Chicago, IL 60601	4-11-94
2.		200 East Randolph Drive, Chicago, IL 60601	4-11-94
3.		200 East Randolph Drive, Chicago, IL 60601	4-11-94
4.			
5.			
6.			

OFFICERS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1. President		200 East Randolph Drive, Chicago, IL 60601	4-11-94
2. Assistant Secretary		200 East Randolph Drive, Chicago, IL 60601	4-11-94

ORIGINATOR (DIRECTOR OR INCORPORATOR)	TITLE	DATE
X	Assistant Secretary	2/14/94

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b7C

140709

STATE OF DELAWARE
1994 ANNUAL FRANCHISE TAX REPORT

DO NOT ALTER FILE NUMBER

FILE NUMBER	CORPORATION NAME	PHONE NUMBER
2329442	AMOCO EURASIA OIL COMPANY	

FEDERAL EMPLOYER ID NO.	INCORPORATION DATE	RENEWAL / REVOCATION DATE	DATE OF INACTIVITY: FROM / / TO / /
36-3883414	03/18/93		

AUTHORIZED STOCK BEGIN DATE	AUTHORIZED STOCK ENDING DATE	DESIGNATION OR STOCK CLASS	NO. OF SHARES	PAR VALUE / SHARE	NO. SHARES ISSUED	TOTAL GROSS ASSETS	ASSET DATE	ASSETS FOR REGULATED INVESTMENT CORPS
03/18/93		COMMON	1,000	1.000000				Jan. 1st / Dec. 31st

FRANCHISE TAX	$50.00 PENALTY	1.5% MONTHLY INTEREST	QUARTERLY INTEREST	ANN. FILING FEE	PREV. CREDIT OR BALANCE	PREPAID QRTY. PAYMENTS	AMOUNT DUE
$30.00	$ .00	$ .00	$	$ 20.00	$ .00	$	$ 50.00

Registered Agent 9000012
THE PRENTICE-HALL CORPORATION SYSTEM, INC.
32 LOOCKERMAN SQUARE
SUITE L-100
DOVER DE 19904

MAKE CHECK PAYABLE TO:
DELAWARE SECRETARY OF STATE

CHECK NO.	AMOUNT ENCLOSED
1026936	$50.00

$50.00 PENALTY if not Received on or before
March 1, 1995. Plus 1.5% interest per mo.

b7E

NATURE OF BUSINESS	PRINCIPAL PLACE OF BUSINESS OUTSIDE OF DELAWARE
Refining, marketing + transportation of petroleum products	200 East Randolph Drive, Chicago, Illinois 60601

DIRECTORS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1.		200 East Randolph Drive, Chicago, IL 60601	4-10-95
2.		200 East Randolph Drive, Chicago, IL 60601	4-10-95
3.		200 East Randolph Drive, Chicago, IL 60601	4-10-95
4.			
5.			
6.			

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OFFICERS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1. President		200 East Randolph Drive, Chicago, IL 60601	4-10-95
2. Assistant Secretary		200 East Randolph Drive, Chicago, Illinois 60601	4-10-95

	(DIRECTOR OR INCORPORATOR)	TITLE	DATE
X		Assistant Secretary	1/9/95

106773

STATE OF DELAWARE
1995 ANNUAL FRANCHISE TAX REPORT

DO NOT ALTER FILE NUMBER

FILE NUMBER	CORPORATION NAME	PHONE NUMBER
2329442	AMOCO EURASIA OIL COMPANY	

FEDERAL EMPLOYER ID NO.	INCORPORATION DATE	RENEWAL / REVOCATION DATE	DATE OF INACTIVITY: FROM	TO
36-3883414	March 18, 1993		/ /	/ /

AUTHORIZED STOCK BEGIN DATE	ENDING DATE	DESIGNATION OR STOCK CLASS	NO. OF SHARES	PAR VALUE / SHARE	NO. SHARES ISSUED	TOTAL GROSS ASSETS	ASSET DATE	ASSETS FOR REGULATED INVESTMENT CORPS
03-18-93		COMMON	1,000	1.000000				Jan. 1st Dec. 31st

FRANCHISE TAX	$50.00 PENALTY	1.5% MONTHLY INTEREST	ANN. FILING FEE	PREV. CREDIT OR BALANCE	PREPAID QRTY. PAYMENTS
$ 30.00	$ .00	$ .00	$ 20.00	$ .00	$

AMOUNT DUE
$ 50.00

Registered Agent 9000012
THE PRENTICE-HALL CORPORATION SYSTEM, INC.
1013 CENTRE ROAD
WILMINGTON, DE 19805

MAKE CHECK PAYABLE TO:
DELAWARE SECRETARY OF STATE

CHECK NO.	AMOUNT ENCLOSED
1738619	$50.00

$50.00 PENALTY If not Received on or before March 1, 1995. Plus 1.5% interest per mo.

b7E

NATURE OF BUSINESS	PRINCIPAL PLACE OF BUSINESS OUTSIDE OF DELAWARE
Refining & Marketing	200 E. Randolph Drive, Chicago, IL 60601

DIRECTORS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1.		200 E. Randolph Drive, Chicago, IL 60601	4-8-96
2.		200 E. Randolph Drive, Chicago, IL 60601	4-8-96
3.		200 E. Randolph Drive, Chicago, IL 60601	4-8-96
4.			
5.			
6.			

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OFFICERS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1. President		200 E. Randolph Drive, Chicago, IL 60601	4-8-96
2. Assistant Secretary		200 E. Randolph Drive, Chicago, IL 60601	4-8-96

ORIGINAL S	PORATOR)	TITLE	DATE
X		Assistant Secretary	1/30/94

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 8/28/96

[redacted] Dover, Delaware, telephone number [redacted] was contacted at her place of employment. After being advised of the identity of the interviewing agent, she provided the following information:

[redacted] advised that AMOCO EURASIA PETROLEUM COMPANY, file number 2223189, was incorporated in Delaware on February 27, 1990. The Incorporator is listed as [redacted] 200 East Randolph Drive, Chicago, Illinois. The Delaware Registered Agent is The Corporation Trust Company, Corporation Trust Center, 1209 Orange Street, Wilmington, Delaware. b6 b7C

[redacted] advised that AMOCO EURASIA PETROLEUM COMPANY is "active and in good standing." In order for a Delaware Corporation to remain "active and in good standing" it must file an Annual Franchise Tax Report, due March 1 of each year. [redacted] provided copies of the three most recent Annual Franchise Tax Reports for AMOCO EURASIA PETROLEUM COMPANY. They include the 1993, 1994, and 1995 reports. The 1996 Annual Franchise Tax Report is not due until March 1, 1997.

[redacted] provided copies of the above described documents, which are attached hereto.

67

Investigation on 8/28/96 at Dover, Delaware File # 58A-WF-200802

by SA [redacted] Date dictated 8/28/96 b6 b7C

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FILED

FEB 27 1990

SECRETARY OF STATE

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2223-89

* * * * *

CERTIFICATE OF INCORPORATION

* * * * *

CERTIFICATE OF INCORPORATION

OF

AMOCO EURASIA PETROLEUM COMPANY

* * * * *

FIRST: The name of the corporation is

AMOCO EURASIA PETROLEUM COMPANY

SECOND: The address of its registered office in the State of Delaware is Corporation Trust Center, 1209 Orange Street, in the City of Wilmington, County of New Castle. The name of its registered agent at such address is The Corporation Trust Company.

THIRD: The nature of the business or purposes to be conducted or promoted is:

To establish and maintain an oil business with authority to contract for the lease and purchase of the right to prospect for, develop and use coal and other minerals, petroleum and gas; also the right to erect, build and own all necessary oil tanks, cars and pipes necessary for the operation of the business of the same.

To acquire by purchase, lease or otherwise, and to mortgage, pledge, lease, sell, or otherwise dispose of, lands and/or the oil, gas and/or mineral rights in lands for the purpose of producing therefrom oil, gas and/or other volatile or mineral substances, and to hold, own, develop, operate, dispose of or in any way use the said lands and/or

the oil, gas and/or mineral rights therein; to develop such lands by and to enter into, acquire, carry on and execute contracts for, drilling wells and installation of plants, machinery and appliances, and to dispose of the products therefrom either as a raw product or otherwise and to refine and reduce and prepare said products for market and to manufacture from said products any and all marketable commodities.

To conduct, carry out and perform geological, geophysical and any other type of exploration of land or water areas for oil, gas, mining and any other purposes, for itself and for others, and to make, execute, perform and carry out contracts therefor.

To drill for, mine for, prepare, process, produce, manufacture, refine, adapt, buy, sell, distribute and otherwise deal in petroleum and other oils, vegetable substances, mineral or volatile substances, asphalt, bitumen and bituminous substances of all kinds, and any and all products, by-products and residual products therefrom, including the manufacturing, buying, selling and otherwise dealing in, both wholesale and retail, gasoline and illuminating and other similar oils; to acquire, sink, own, maintain, operate and develop oil and gas wells and prepare, adapt, utilize, buy, sell and otherwise deal in and with the products thereof and therefrom in such manner as may be advantageous or profitable, and to transact any and all other business pertinent, collateral, incidental or contributory to any of the purposes aforesaid.

To manufacture, drill for, mine for, produce, use, and sell artificial or natural gas, or both, or any mixture of the two, for light, heat, power and other purposes and also to produce, acquire, use, sell, distribute and treat the products, by-products and residual products therefrom and to construct or in any manner acquire, maintain, operate, encumber, sell or in any manner dispose of works

therefor; and to transact any and all other business pertinent, collateral, incidental or contributory to any of the purposes aforesaid.

To construct, lay, purchase or in any manner acquire, and to maintain and operate, and to sell, encumber or in any manner dispose of plants, refineries, systems, works, appliances, tank structures, equipment, machinery, pipe-lines, gas mains and buildings and other facilities and equipment, for the manufacture, treating, concentrating, processing, refining, use, sale, distribution and transportation of petroleum and other oils, natural and/or artificial and mixed gas for light, heat, power and other purposes, and their products, by-products and residual products, in, over, through or under any streets, alleys, roads, highways or other public places, or in, over, through or under any private or public property (subject, however, to the consent of governmental of municipal authorities when the same may be required by law).

To do a general mining business; to purchase, take, lease or otherwise acquire, hold, own, control, mine, develop, operate, mortgage, pledge, sell, transfer, or in any manner dispose of mineral or coal properties, together with the veins or seams of coal, iron ore or other minerals situated therein and the works, mining properties, rights or effects connected therewith, and collieries, smelters and refineries, together with the warehouses, wharves, cars, ships, vessels, steam boats, or other means of transportation by land or water, stock in trade, fixed and movable, plants, machinery and other property and effects appurtenant and belonging thereto, and all or any other works or property held in connection therewith.

To acquire by purchase or otherwise, hold, own, sell, lease, assign, transfer, convey, mortgage, encumber and otherwise to deal in and with grants, franchises, easements, concessions, licenses (including

but not limited to oil exploration licenses and oil prospecting licenses), leases (including but not limited to oil mining leases), good will, rights and privileges of every kind and nature, or any interest therein, necessary or incidental in carrying out the purposes of this corporation and to explore, develop, operate and exploit the same or to cause or permit the same to be explored, developed, operated or exploited by others.

To manufacture, purchase or otherwise acquire, own, mortgage, pledge, sell, assign and transfer, or otherwise dispose of, to invest, trade, deal in and deal with, goods, wares, merchandise, commodities, equipment, supplies, and personal property of every class and description.

To acquire, hold, use, sell, assign, lease, grant licenses in respect of, mortgage or otherwise dispose of letters patent of the United States or any foreign country, patent rights, licenses and privileges, inventions, formulae, improvements and processes, copyrights, trademarks and trade names, relating to or useful in connection with any business of this corporation.

To purchase or otherwise acquire the whole or any part of the property, assets, business, good will and rights and to undertake or assume the whole or any part of the bonds, mortgages, franchises, leases, contracts, indebtedness, guaranties, liabilities and obligations of any person, firm, association, corporation or organization, and to pay for the same or any part of combination thereof in cash, shares of the capital stock, bonds, debentures, debenture stock, notes, or other obligations of the corporation or otherwise, or by undertaking and assuming the whole or any part of the liabilities or obligations of the transferor; and to hold or in any manner dispose of the whole or any part of the business so acquired and to exercise all the powers

necessary or convenient in and about the conduct, management and carrying on of such business.

To enter into, make, perform and carry out contracts of every kind, for any lawful purpose, without limit as to amount, with any person, firm, association or corporation.

To borrow or raise moneys for any of the purposes of the corporation and, from time to time without limit as to amount, to draw, make, accept, endorse, execute and issue promissory notes, drafts, bills of exchange, warrants, bonds, debentures and other negotiable or non-negotiable instruments and evidences of indebtedness, and to secure the payment of any thereof and of the interest thereon by mortgage upon or pledge, conveyance or assignment in trust of the whole or any part of the property of the corporation, whether at the time owned or thereafter acquired, and to sell, pledge or otherwise dispose of such bonds or other obligations of the corporation for its corporate purposes.

To purchase, subscribe for, acquire, own, hold, sell, exchange, assign, transfer, mortgage, pledge or otherwise dispose of shares or voting trust certificates for shares of the capital stock, or any bonds, notes, securities or evidences of indebtedness created by any other corporation or corporations organized under the laws of this state or any other state or district or country, nation or government and also bonds or evidences of indebtedness of the United States or of any state, district, territory, dependency or country of subdivision or municipality thereof; to issue in exchange therefor shares of the capital stock, bonds, notes or other obligations of the corporation and while the owner thereof to exercise all the rights, powers and privileges of ownership including the right to vote on any shares of stock or voting trust certificates so owned; to promote, lend money to and guarantee

the dividends, stocks, bonds, notes, evidences of indebtedness, contracts or other obligations of and otherwise aid in any manner which shall be lawful any corporation or association of which any bonds, stocks, voting trust certificates, or other securities or evidences of indebtedness shall be held by or for this corporation or in which, or in the welfare of which, this corporation shall have any interest, and to do any acts and things permitted by law and designed to protect, preserve, improve or enhance the value of any such bonds, stocks or other securities or evidences of indebtedness or the property of this corporation.

To organize or cause to be organized under the laws of the State of Delaware, or of any other state, district, territory, nation, colony, province or government, a corporation or corporations for the purpose of accomplishing any or all of the objects for which the corporation is organized, and to dissolve, wind up, liquidate, merge or consolidate any such corporation or corporations or to cause the same to be dissolved, wound up, liquidated, merged or consolidated.

To purchase, hold, sell and transfer the shares of its own capital stock; provided it shall not use its funds or property for the purchase of its own shares of capital stock when such use would cause any impairment of its capital except as otherwise permitted by law, and provided further that shares of its own capital stock belonging to it shall not be voted upon directly or indirectly.

To have one or more offices, to carry on all or any of its operations and business and without restriction or limit as to amount to purchase or otherwise dispose of real and personal property of every class and description in any of the States, Districts, Territories or Colonies of the United States, and in any and all foreign countries,

subject to the laws of such State, District, Territory, Colony or Country.

In general, to carry on any other business in connection with the foregoing, and to have and exercise all the powers conferred by the laws of Delaware upon corporations formed under the act hereinafter referred to, and to do any or all of the things hereinbefore set forth to the same extent as natural persons might or could do.

The objects and purposes specified in the foregoing clauses shall, except where otherwise expressed, be in nowise limited or restricted by reference to, or inference from, the terms of any other clause in this certificate of incorporation, but the objects and purposes specified in each of the foregoing clauses of this article shall be regarded as independent objects and purposes.

FOURTH: The total number of shares of Common Stock which the corporation shall have authority to issue is one thousand (1,000) and the par value of each of such shares is One Hundred Dollars amounting in the aggregate to One Hundred Thousand Dollars ($100,000).

FIFTH: The name and mailing address of the sole incorporator is as follows:

NAME	MAILING ADDRESS
R. T. Clair	200 East Randolph Drive Chicago, Illinois 60601

SIXTH: The corporation is to have perpetual existence.

SEVENTH: In further and not in limitation of the powers conferred by statute, the board of directors is expressly authorized:

To make, alter or repeal the by-laws of the corporation.

To authorize and cause to be executed mortgages and liens upon the real and personal property of the corporation.

To set apart out of any of the funds of the corporation available for dividends a reserve or reserves for any proper purpose and to abolish any such reserve in the manner in which it was created.

By resolution passed by a majority of the whole board, to designate one or more committees, each committee to consist of two or more of the directors of the corporation, which, to the extent provided in the resolution or in the by-laws of the corporation, shall have and may exercise the powers of the board of directors in the management of the business and affairs of the corporation, and may authorize the seal of the corporation to be affixed to all papers which may require it. Such committee or committees shall have such name or names as may be stated in the by-laws of the corporation or as may be determined from time to time by resolution adopted by the board of directors.

When and as authorized by the affirmative vote of the holders of a majority of the stock issued and outstanding having voting power given at a stockholders' meeting duly called for that purpose, or when authorized by the written consent of the holders of a majority of the voting stock issued and outstanding, to sell, lease or exchange all of the property and assets of the corporation, including its good will and its corporate franchises, upon such terms and conditions and for such consideration, which may be in whole or in part shares of stock in, and/or other securities of, any other corporation or corporations, as its board of directors shall deem expedient and for the best interests of the corporation.

EIGHTH: Whenever a compromise or arrangement is proposed between this corporation and its creditors or any class of them and/or between this corporation and its stockholders or any class of them, any court of equitable jurisdiction within the State of Delaware may, on the application in a summary way of this corporation or of any creditor or stockholder thereof or on the application of any receiver or receivers appointed for this corporation under the provisions of Section 291 of Title 8 of the Delaware Code or on the application of trustees in dissolution or of any receiver or receivers appointed for this corporation under the provisions of Section 279 of Title 8 of the Delaware Code order a meeting of the creditors or class of creditors, and/or of the stockholders or class of stockholders of this corporation, as the case may be, to be summoned in such manner as the said court directs. If a majority in number representing three-fourths in value of the creditors or class of creditors, and/or of the stockholders or class of stockholders of this corporation, as the case may be, agree to any compromise or arrangement and to any reorganization of this corporation as consequence of such compromise or arrangement, the said compromise or arrangement and the said reorganization shall, if sanctioned by the court to which the said application has been made, be binding on all the creditors or class of creditors, and/or on all the stockholders or class of stockholders, of this corporation, as the case may be, and also on this corporation.

NINTH: Meetings of stockholders may be held within or without the State of Delaware, as the by-laws may provide. The books of the corporation may be kept (subject to any provision contained in the statutes) outside the State of Delaware at such place or places as

may be designated from time to time by the board of directors or in the by-laws of the corporation.

TENTH: The corporation reserves the right to amend, alter, change or repeal any provision contained in this certificate of incorporation, in the manner now or hereafter prescribed by statute, and all rights conferred upon stockholders herein are granted subject to this reservation.

I, THE UNDERSIGNED, being the sole incorporator hereinbefore named, for the purpose of forming a corporation pursuant to the General Corporation Law of the State of Delaware, does make this certificate, hereby declaring and certifying that this is my act and deed and the facts herein stated are true, and accordingly have hereunto set my hand this 23rd day of February, 1990.

R. T. Clair

STATE OF ILLINOIS)
) ss:
COUNTY OF COOK)

BE IT REMEMBERED that on this 23rd day of February, A. D. 1990, personally came before me, a Notary Public for the State of Illinois, R. T. Clair the sole party to the foregoing certificate of incorporation, known to me personally to be such, and severally acknowledged the said certificate to be the act and deed of the signer respectively and that the facts therein stated are truly set forth.

GIVEN under my hand and seal of office the day and year aforesaid.

Debra A. Dowling
Notary Public

" OFFICIAL SEAL "
DEBRA A. DOWLING
NOTARY PUBLIC, STATE OF ILLINOIS
MY COMMISSION EXPIRES 5/10/92

043449

STATE OF DELAWARE
1993 ANNUAL FRANCHISE TAX REPORT

DO NOT ALTER FILE NUMBER

FILE NUMBER	CORPORATION NAME	PHONE NUMBER
2223189	AMOCO EURASIA PETROLEUM COMPANY	

FEDERAL EMPLOYER ID NO.	INCORPORATION DATE	RENEWAL / REVOCATION DATE	DATE OF INACTIVITY: FROM / /	TO / /
36-3701759	FEBRUARY 27, 1990			

AUTHORIZED STOCK BEGIN DATE	ENDING DATE	DESIGNATION OR STOCK CLASS	NO. OF SHARES	PAR VALUE / SHARE	NO. SHARES ISSUED	TOTAL GROSS ASSETS	ASSET DATE	ASSETS FOR REGULATED INVESTMENT CORPS
02/27/90		COMMON	1,000	100.000000				Jan. 1st / Dec. 31st

FRANCHISE TAX	$50.00 PENALTY	1.5% MONTHLY INTEREST	QUARTERLY INTEREST	ANN. FILING FEE	PREV CREDIT OR BALANCE	PREPAID QRTY. PAYMENTS
$ 30.00	$ .00	$ .00	$ .00	$ 20.00	$ .00	$ .00

AMOUNT DUE $ 50.00

REGISTERED AGENT 9000010
THE CORPORATION TRUST COMPANY
CORPORATION TRUST CENTER
1209 ORANGE STREET
WILMINGTON, DE 19801

[redacted]

MAKE CHECK PAYABLE TO:
DELAWARE SECRETARY OF STATE

CHECK NO.	AMOUNT ENCLOSED
0001176841	50.00

$50.00 PENALTY if not Received on or before March 1, 1994

b7E

NATURE OF BUSINESS	PRINCIPAL PLACE OF BUSINESS OUTSIDE OF DELAWARE
Oil & Gas	200 East Randolph Drive, Chicago, Illinois 60601

SEND INVOICE AND PAYMENT ONLY - NO ATTACHMENTS - NO ADDITIONAL PAGES

DIRECTORS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1.		200 East Randolph Drive, Chicago, IL 60601	2-1-95
2.		P.O. Box 3092, Houston, TX 77253-3092	2-1-95
3.		200 East Randolph Drive, Chicago, IL 60601	2-1-95
4.			
5.			
6.			

OFFICERS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1. President		200 East Randolph Drive, Chicago, Illinois 60601	2-1-95
2. Assistant Secretary		200 East Randolph Drive, Chicago, Illinois 60601	2-1-95

	DIRECTOR OR INCORPORATOR)	TITLE	DATE
X		Assistant Secretary	7/7/94

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b7C

11379

STATE OF DELAWARE
1994 ANNUAL FRANCHISE TAX REPORT

DO NOT ALTER FILE NUMBER

FILE NUMBER	CORPORATION NAME	FEDERAL EMPLOYER ID NO.
2223189	AMOCO EURASIA PETROLEUM COMPANY	36-3701759

PHONE NUMBER	INCORPORATION DATE	RENEWAL / REVOCATION DATE	DATE OF INACTIVITY: FROM / / TO / /
	FEBRUARY 27, 1990		

AUTHORIZED STOCK BEGIN DATE	AUTHORIZED STOCK ENDING DATE	DESIGNATION OR STOCK CLASS	NO. OF SHARES	PAR VALUE / SHARE	NO. SHARES ISSUED	TOTAL GROSS ASSETS	ASSET DATE	ASSETS FOR REGULATED INVESTMENT CORPS
02/27/90		COMMON	1,000	100.000000				Jan. 1st / Dec. 31st

FRANCHISE TAX	$50.00 PENALTY	1.5% MONTHLY INTEREST	QUARTERLY INTEREST	ANN. FILING FEE	PREV CREDIT OR BALANCE	PREPAID QRTY. PAYMENTS
$ 30.00	$ .00	$ .00	$	$ 20.00	$ .00	$

AMOUNT DUE
$ 50.00

REGISTERED AGENT 9000010
THE CORPORATION TRUST COMPANY
CORPORATION TRUST CENTER
1209 ORANGE STREET
WILMINGTON, DE 19801

MAKE CHECK PAYABLE TO:
DELAWARE SECRETARY OF STATE

CHECK NO.	AMOUNT ENCLOSED
1044037	$50.00

$50.00 PENALTY if not Received on or before March 1, 1995. Plus 1.5% interest per month.

b7E

NATURE OF BUSINESS	PRINCIPAL PLACE OF BUSINESS OUTSIDE OF DELAWARE
Oil and Gas	200 East Randolph Drive, Chicago, Illinois 60601

SEND INVOICE AND PAYMENT ONLY - NO ATTACHMENTS - NO ADDITIONAL PAGES

DIRECTORS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1.		P.O. Box 3092, Houston, TX 77253	2-1-96
2.		200 E. Randolph Drive, Chicago, IL 60601	2-1-96
3.		200 E. Randolph Drive, Chicago, IL 60601	2-1-96
4.			
5.			
6.			

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OFFICERS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1. President		200 E. Randolph Drive, Chicago, IL 60601	2-1-96
2. Assistant Secretary		200 E. Randolph Drive, Chicago, IL 60601	2-1-96

ORI[illegible]ECTOR OR INCORPORATOR)	TITLE	DATE
X	Assistant Secretary	1/26/95

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STATE OF DELAWARE
1995 ANNUAL FRANCHISE TAX REPORT

DO NOT ALTER FILE NUMBER

FILE NUMBER	CORPORATION NAME	PHONE NUMBER
2223189	AMOCO EURASIA PETROLEUM COMPANY	

FEDERAL EMPLOYER ID NO.	INCORPORATION DATE	RENEWAL / REVOCATION DATE	DATE OF INACTIVITY:	FROM	TO
36-3701759	FEBRUARY 27, 1990			/ /	/ /

AUTHORIZED STOCK BEGIN DATE	ENDING DATE	DESIGNATION OR STOCK CLASS	NO. OF SHARES	PAR VALUE / SHARE	NO. SHARES ISSUED	TOTAL GROSS ASSETS	ASSET DATE	ASSETS FOR REGULATED INVESTMENT CORPS
02/27/90		COMMON	1,000	100.000000				Jan. 1st / Dec. 31st

FRANCHISE TAX	$50.00 PENALTY	1.5% MONTHLY INTEREST	ANNUAL FILING FEE	PREVIOUS CREDIT OR BALANCE	PREPAID QUARTERLY PAYMENTS
$ 30.00	$ .00	$ .00	$ 20.00	$ .00	$

AMOUNT DUE
$ 50.00

REGISTERED AGENT 9000010
THE CORPORATION TRUST COMPANY
CORPORATION TRUST CENTER
1209 ORANGE STREET
WILMINGTON, DE 19801

MAKE CHECK PAYABLE TO:
DELAWARE SECRETARY OF STATE

CHECK NO.	AMOUNT ENCLOSED
173818	$50.00

$50.00 PENALTY if not Received on or before March 1, 1996. Plus 1.5% interest per month.

b7E

NATURE OF BUSINESS	PRINCIPAL PLACE OF BUSINESS OUTSIDE OF DELAWARE
Oil and Gas	200 East Randolph Drive, Chicago, Illinois 60601

SEND INVOICE AND PAYMENT ONLY – NO ATTACHMENTS – NO ADDITIONAL PAGES

DIRECTORS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1.		200 E. Randolph Drive, Chicago, IL 60601	2-5-97
2.		P.O. Box 3092, Houston, TX 77253	2-5-97
3.		200 E. Randolph Drive, Chicago, IL 60601	2-5-97
4.			
5.			
6.			

FOR BANK USE ONLY

b6
b7C

OFFICERS	NAME	STREET/CITY/STATE/ZIP	DATE TERM EXPIRES
1. President		200 E. Randolph Drive, Chicago, IL 60601	2-5-97
2. Assistant Secretary		200 E. Randolph Drive, Chicago, IL 60601	2-5-97

ORIGINAL	CORPORATOR)	TITLE	DATE
X		Assistant Secretary	1/30/97

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 08/26/1996

To: Criminal Investigative **Attn:** Public Corruption Unit (PCU)
WMFO SAC William C. Megary
ASAC [redacted]

From: SA [redacted]
C 20 NVMRA
Contact: (202) 324-6172

Approved By [redacted] b6 b7C

Drafted By: [redacted]

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: [redacted]
Samuel Richard Berger,
aka "Sandy" Berger,
Deputy Assistant to the President for National Security;
CFO-COI;

Synopsis: To summarize the results of a meeting on 8/21/96, with Public Integrity Section (PIS) Attorneys Josh Hochberg, Susan Park & Bill Palmer and WMFO SA [redacted] and SSA [redacted] The purpose of the meeting was to: 1) Obtain the results of PIS legal analysis and conclusions based upon review of over one thousand documents in regard to potential "particular matters" and participation of the subjects in a "personal and substantial manner"; and, 2) Mutually agree upon future investigative strategy now that the document review has been completed.

Reference: Case ID #58A-WF-200802, Serial 48. b6 b7C

Administrative: Telcall from WMFO (SSA [redacted] to PCU (SSA [redacted], 8/19/96.

Details: **BACKGROUND:**

Upon receipt of this referral from the White House Counsel's Office, WMFO and PIS identified possible areas of involvement by the National Security Council (NSC) of which [redacted] Berger the Deputy Director. This was

58A-WF-200802-68

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED FILED
AUG 26 1996
FBI — WASH. METRO FIELD OFFICE
[redacted]

12233

accomplished through review of Lexis-Nexis material and by the referral matter itself. In addition, it was noted from the referral forms that Berger and [redacted] personally owned (or had imputed to them) ownership in Exxon, Amoco and Mobil Corporations. It was further noted that the area of the Caspian Sea Oil Development in the area of the Newly Independent States (NIS) was an area where the NSC had substantial involvement and where the companies involved included Exxon, Amoco and Mobil. An initial effort was made by interviewing personnel within the White House Counsel's Office and the NSC's Legal Counsel's Office in an effort to determine whether or not there had been receipt of advice by [redacted] or Berger which would have precluded any possible prosecution of these individuals. The historical trail of events concerning the filing of the financial disclosure statements and the warnings given to Berger and [redacted] which led to the ultimate referral to the Department of Justice (DOJ) were also identified. b6 b7C

The NSC was then asked to make available all documents and computer files relating to the Caspian Sea issue. [redacted] identified as having potential relevance to this inquiry. In addition to which Grand Jury subpoenas were served on [redacted] b3 b6 b7C

WMFO has completed a review of [redacted] documents and has prepared a chronology of the events from [redacted] documents which has been previously furnished to FBIHQ.

PIS recently completed a review of the documents in an effort to determine whether or not there was a likelihood that the documents would show elements of 18 U.S.C, Section 208 had been met by identifying "particular matters" which were acted on "in a personal and substantial manner" by [redacted] and/or Berger and which had a predictable effect on the securities. PIS prepared a chronology of the documents which enabled them to get a firm view of what happened. This chronology comprises some two hundred and fifty pages. In addition to which they prepared a summary overview of the case which is approximately forty-five pages long.

FEDERAL BUREAU OF INVESTIGATION
FOI/PA
DELETED PAGE INFORMATION SHEET
FOI/PA# 1340797-000

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Page 275 ~ b4; b5;
Page 276 ~ b4; b5;
Page 277 ~ b4; b5;
Page 278 ~ b4; b5;
Page 279 ~ b4; b5;
Page 280 ~ b4; b5;
Page 281 ~ b4; b5;
Page 282 ~ b4; b5;
Page 283 ~ b4; b5;
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Page 287 ~ b4; b5;
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Page 291 ~ b4; b5;
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Page 293 ~ b4; b5;
Page 294 ~ b4; b5;
Page 295 ~ b4; b5;
Page 296 ~ b4; b5;
Page 297 ~ b4; b5;
Page 298 ~ b4; b5;
Page 299 ~ b4; b5;
Page 300 ~ b4; b5;
Page 301 ~ b4; b5;
Page 303 ~ b5; b6; b7C;
Page 304 ~ b5; b6; b7C;
Page 305 ~ b5; b6; b7C;
Page 306 ~ b5; b6; b7C;
Page 307 ~ b5; b6; b7C;
Page 308 ~ b5; b6; b7C;
Page 309 ~ b5; b6; b7C;
Page 310 ~ b5; b6; b7C;
Page 311 ~ b5; b6; b7C;
Page 312 ~ Duplicate;
Page 313 ~ Duplicate;
Page 314 ~ Duplicate;
Page 315 ~ Duplicate;
Page 316 ~ Duplicate;
Page 317 ~ Duplicate;
Page 318 ~ Duplicate;
Page 319 ~ Duplicate;
Page 320 ~ Duplicate;
Page 321 ~ Duplicate;
Page 323 ~ b5; b6; b7C;
Page 324 ~ b6; b7C;

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X Deleted Page(s) X
X No Duplication Fee X
X For this Page X
XXXXXXXXXXXXXXXXXXXXXXXX

-448 (Rev. 5-23-90)

FBI FACSIMILE COVERSHEET

CLASSIFICATION

PRECEDENCE

- ☐ Immediate
- ☐ Priority
- ☑ Routine

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☑ Unclassified

Time Transmitted: 1800

Sender's Initials: [redacted]

Number of Pages: 11

To: PCU, CID, FBIHQ (Name of Office) Date: 8/22/96

Facsimile number: (202) 324-2043

Attn: SSA [redacted] x 5701
(Name) (Room) (Telephone No.)

b6
b7C

From: WMFO C-20
(Name of Office)

Subject: [redacted] BERGER

Special Handling Instructions:

Originator's Name: [redacted] Telephone: 324-6159

b6
b7C

Originator's Facsimile Number: (202) 324-6426

Approved: [redacted]

69

SEARCHED [redacted]
SERIALIZED [redacted]
FILED [redacted]
FBI — WASHINGTON METRO FIELD OFFICE
[redacted]

******** UF-250 ********** -JOURNAL- ********** DATE AUG-27-1996 ***** TIME 18:01 ********

NO.	COM	DOC	DURATION	X/R	IDENTIFICATION	DATE	TIME	DIAGNOSTIC
14	OK	01	00:00'55	XMT	T 93242043	AUG-27	18:00	842490AC7820

********** PANASONIC- **********

********** UF-250 ********** -JOURNAL- ********** DATE AUG-27-1996 ***** TIME 18:00 **********

NO.	COM	DOC	DURATION	X/R	IDENTIFICATION	DATE	TIME	DIAGNOSTIC
13	OK	10	00:08'05	XMT	T 33242043	AUG-27	17:52	842490AC7820

********** -FASCIMIL- **********

FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 8/29/96

A review and analysis was conducted of [redacted], in response to a Federal Subpoena Duces Tecum. b3 b6 b7C

[redacted]

[redacted] b6 b7C

Investigation on 8/26/96 at Falls Church, Va.

File # 58A-WF-200802

by SA [redacted] Date dictated 8/26/96

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 8/29/96

A review and analysis of [redacted], in response to a Federal Subpoena Duces Tecum. b3 b6 b7C

[redacted]

72

Investigation on 8/27/96 at Falls Church, Va.

File # 58A-WF-200902 [redacted]

by SA [redacted] Date dictated 8/28/96 b6 b7C

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

FD-36 (Rev. 8-29-85)

FBI

TRANSMIT VIA:
☒ Teletype
☐ Facsimile
☐ AIRTEL

PRECEDENCE:
☐ Immediate
☒ Priority
☐ Routine

CLASSIFICATION:
☐ TOP SECRET
☐ SECRET
☐ CONFIDENTIAL
☐ UNCLAS E F T O
☒ UNCLAS

Date 8/27/96

FM FBI WMFO (58A-WF-200802) ~~(P)~~ (C-20)

TO DIRECTOR FBI/PRIORITY/

LEGAT BRUSSELS/PRIORITY/

BT

UNCLAS

CITE: //3920//

PASS: PCU CID

SUBJECT: [redacted] SAMUEL RICHARD BERGER, AKA "SANDY" BERGER, DEPUTY ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY; CFO-COI.

b6
b7C

RE WMFO TELCALL TO BRUSSELS (SA [redacted] TO [redacted], 8/23/96.

IN RETELCALL, BRUSSELS WAS ADVISED OF THE NATURE OF THIS INVESTIGATION.

58A-WF-200802

searched [redacted] indexed [redacted] 75

Approved: [redacted] Original filename: [redacted] 001W.240

Time Received: _____ Telprep filename: [redacted] 00150.240

b6
b7C

MRI/JULIAN DATE: 2270 /240 ISN: 20

FOX DATE & TIME OF ACCEPTANCE: 8-28-96 [redacted] 4:46PM

FOR THE INFORMATION OF [redacted]

[redacted]

b3
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TRIAL ATTORNEY SUSAN PARK, PUBLIC INTEGRITY SECTION (PIS), HAS CONCURRED THAT [redacted] WILL NEED TO BE INTERVIEWED. [redacted]

b6
b7C

[redacted] THE TIMETABLE OF WHEN OTHER INTERVIEWS WILL BE CONDUCTED AND OTHER COMMITMENTS INDICATES THAT TRAVEL TO BRUSSELS FOR PURPOSES OF

THIS INTERVIEW WILL OCCUR THE WEEK OF 9/21-25/96. IT IS ANTICIPATED THAT WMFO CASE AGENT AND TRIAL ATTORNEYS FROM PIS WILL CONDUCT THIS INTERVIEW, WHICH COULD LAST SEVERAL DAYS.

IT IS REQUESTED THAT BRUSSELS CONTACT [redacted] TO DETERMINE HER AVAILABILITY FOR INTERVIEW IN BRUSSELS DURING THE TIME FRAME OF 9/21-25/96. BRUSSELS MAY ADVISE [redacted] THAT SHE IS NEITHER A SUBJECT NOR A TARGET OF THE INVESTIGATION, BUT IS RATHER A FACT WITNESS. [redacted]

[redacted] b3 b6 b7C

[redacted] IF [redacted] IS AVAILABLE DURING THIS TIME FRAME, WMFO WILL WORK WITH BRUSSELS TO PERFECT ARRANGEMENTS. BOTH [redacted] MAY IN GENERAL TERMS BE ADVISED THAT THIS IS A CRIMINAL INVESTIGATION INVOLVING A POTENTIAL MISUSE OF PUBLIC TRUST BY OTHER GOVERNMENT OFFICIALS AND ABOUT WHICH [redacted] IS BELIEVED TO HAVE PERSONAL KNOWLEDGE.

BT

Searched Serialized Indexed Filed

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 09/09/1996

To: WFO **Attn:** SA
NVMRA, Squad C-20
Ext. 6172

From: Tampa
Squad 3
Contact: SA (813) 272-8236

Approved By:

Drafted By:

b6
b7C

Case ID #: 58A-WF-200802-76 (Closed)

Title:

SAMUEL RICHARD BERGER, aka
"Sandy" Berger,
SPECIAL ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO - COI

Synopsis: To provide WFO with results of investigation at Tampa.

Administrative: Reference WFO EC dated 08/14/1996.

Enclosures: Being forwarded under separate cover are (unable to Vcat) and an FD-340 containing mail receipts.

b3
b6
b7C

Details: On 09/06/1996, SA received from

This lead is considered covered at Tampa, Fla.

♦♦

58A-WF-200802-76

SA

b6
b7C

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 09/11/1996

To: Washington Field **Attn:** Squad C-20 NVMRA

From: San Francisco
Oakland RA, Squad 17
Contact: SA [redacted] (510) 251-4131

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 58A-WF-200802 ~~(Pending)~~ 78 b6 b7C

Title: [redacted]

SAMUEL RICHARD BERGER, AKA
"SANDY" BERGER,
SPECIAL ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO - COI

Synopsis: [redacted] obtained. Lead Covered.

Enclosures [redacted] Enclosed for Washington Field are [redacted] b3 b6 b7C

Details: On 09/11/1996, [redacted]

Lead covered.

CC: 1 - Washington Field

♦♦

58A-WF-200802 - 78

[redacted] b6 b7C

SA [redacted]

[redacted]

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 9/5/96

[redacted] Date of Birth (DOB) [redacted]
[redacted] Social Security Account Number (SSAN) [redacted]
employed as [redacted] at [redacted]
[redacted] was advised of the identity of the interviewing Agent by display of credentials and of the nature of the inquiry. [redacted] advised that she recalled the interviewing Agent from a previous meeting. b3 b6 b7C

[redacted] advised that [redacted]

[redacted]

79

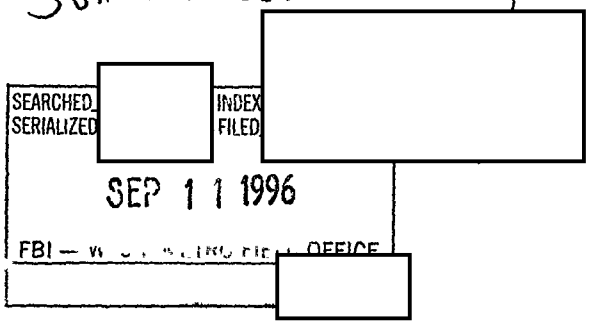
Investigation on 8/28/96 at Falls Church, Virginia

File # 58A-WF-200802 b6 b7C

by SA [redacted] Date dictated 8/30/96

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

58A-WF-200802 - 79



b6
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FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 9/12/96

[redacted] was interviewed in her office in the Old Executive Office Building. [redacted] was advised of the identity of the interviewing Agent by a display of credentials and of the nature of the inquiry. Present throughout the interview was SUSAN PARK, Trial Attorney, Public Integrity Section (PIS), U.S. Department of Justice (DOJ). b6 b7C

[redacted] b5 b6 b7C

Investigation on 9/6/96 at Washington, D.C.

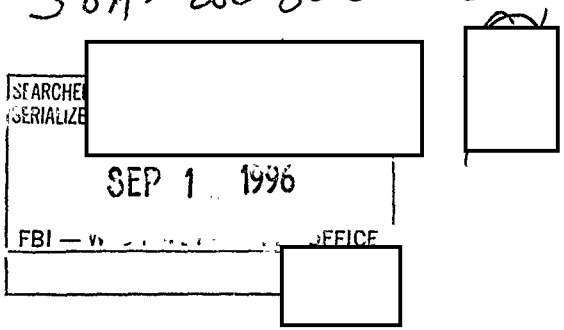
File # 58A-WF-200802

by SA [redacted] Date dictated 9/10/96 b6 b7C

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

12295

58A-200802-80



b6
b7C

(06/01/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 09/04/1996

To: Washington Field **Attn:** SA [redacted]

From: Dallas
WCC-2
Contact: SA [redacted] Ext. 7672

C-20

[redacted] **proved By:** [redacted] b6 b7C

Drafted By: [redacted]

Case ID #: 58A-WF-200802 ~~(Pending)~~

Title: [redacted]

SAMUEL RICHARD BERGER,
SPECIAL ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO - COI

Synopsis: Completion of lead to obtain [redacted]

Reference: 58A-WF-20082 Serial 63

Enclosures: UNable to Verify Enclosed is a 1-A envelop containing [redacted] b3 b6 b7C

Details: Enclosed is a 1-A envelop containing [redacted] obtained on 9/4/96 from [redacted]

♦♦

[redacted]

GRAND JURY MATERIAL - DISSEMINATE ONLY PURSUANT TO
RULE 6(e) FED.R.CRIM.P.

[redacted] 17 1996 b6 b7C

SA [redacted]

9-16-9 [redacted]

58A-WF-200802-81

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 09/16/1996

To: CRIMINAL INVESTIGATIVE **Attn:** SSA [redacted] PCU
WASHINGTON FIELD **Attn:** SAC MEGARY
ASAC [redacted]

[redacted]

From: SA [redacted]
Squad C-20 / NVMRA
Contact: SA [redacted] X6172

Approved By [redacted]

Drafted By: [redacted]

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: [redacted]
SAMUEL RICHARD BERGER,
Aka "SANDY" BERGER,
Deputy Assistant to the President for
National Security;
CFPO - COI

b6
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Synopsis: To provide update on investigation recently conducted.

Details: On 9/5/96, WMFO Case Agent and SSA provided a briefing for FBIHQ personnel of this matter and anticipated actions.

Since that date, WMFO has identified, located and interviewed [redacted] is now deceased and that information from that office, unless contained in the written files, would not be available. [redacted] advised that [redacted]

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b7C

1 - CID, PCU
1 - SAC MEGARY
1 - ASAC [redacted]

58A-WF-200802-82

GRAND JURY MATERIAL - DISSEMINATE ONLY PURSUANT TO RULE 6(e) FED.R.CRIM.P.

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
SEP 16 1996
FBI — WASH. METRO FIELD OFFICE
[redacted]

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1811

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

To: CRIMINAL INVESTIGATIVE From: SA [redacted]
Re: 58A-WF-200802, 09/11/1996

[redacted]

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WMFO also reinterviewed [redacted]

[redacted]

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[redacted]

GRAND JURY MATERIAL - DISSEMINATE ONLY PURSUANT TO RULE 6(e) FED.R.CRIM.P.

[redacted]

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BERGER's attorney agreed to make BERGER available for interview on Thursday, 9/12/96, for the limited purpose of the divestiture question. WMFO attempted to arrange to interview BERGER's [redacted] immediately prior to BERGER's interview. [redacted] initially agreed then postponed the interview, claiming that other personnel were going to be absent from the office and because of the press of business that she would not be available. WMFO attempting to reschedule [redacted]

BERGER (accompanied by attorney [redacted] of Hogan and Hartson) appeared for limited interview on Thursday, 9/12/96. WMFO Agents interviewed BERGER concerning the questions of divestiture and the financial disclosure forms. BERGER opened the interview by making a statement of explanation. In this statement, BERGER explained that he had received his initial financial disclosure forms in early 1993 and had turned them over to his financial advisor to handle. The advisor returned the completed forms to him. BERGER signed the forms after a cursory examination. He has no recollection of any subsequent questions of items or clarifications being asked about the forms. Sometime in early 1994, he was notified by members of the NSC Legal Counsel's Office that his holdings in oil and petroleum industry stocks were deemed too likely to be a source of conflict and that he would have to divest.

BERGER stated that he asked if there were alternatives, noting that he was unclear why just petroleum issues were being singled out and whether recusal or waiver was an option. He wrote a note raising these questions to the NSC Legal Counsel and noting that the stock was worth approximately $80,000. BERGER stated that his frame of mind was that [redacted]

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[redacted]

and to have to sell would create a large capital gains tax

obligation. BERGER stated that he did not closely read the memorandum from the NSC Legal Counsel's Office otherwise he would have realized that the answer to his tax concerns had been addressed.

He received a response to his questions in March, 1994. This response told him that there were no alternatives to divestiture. BERGER stated that the receipt of this information ended any questions in his mind; he accepted the fact that he had to divest. However, BERGER stated that he just forgot to do so. BERGER stated that he never gave the question of divestiture another thought until June, 1995, when the issue of divestiture again surfaced. BERGER relates this resurfacing to the "Halifax Summit" where he received several messages on his pager which caused him to immediately direct the divestiture of the AMOCO stock from [redacted]

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In addition, BERGER stated that [redacted]

BERGER stated that he expected those responsible for filling out the forms for him to do so completely and correctly. When asked how he verified that they did accurately and completely execute the financial disclosure forms, BERGER replied that he expected nothing less. When asked if he had ever asked a question to insure that the forms were accurate, he replied that he had not.

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b7C

BERGER stated that he must have known that the value of the holdings was $80,000 by asking someone, but he is not at all certain who he asked. BERGER speculated that he might have asked his financial broker, might have asked [redacted] or might have asked [redacted]

BERGER stated that he had not discussed the reasons for not divesting, discussed the question of imputation or otherwise discussed this issue earlier with anyone (this is in contradiction to information received from former White House Counsel ABNER MIKVA who stated that BERGER claimed because the

[redacted] he (BERGER) thought that he had complied. b6 b7C

BERGER was unable to provide an explanation of why his holdings in PUTNAM ENERGY RESOURCES were sold shortly after receiving the 3/94 memorandum from NSC Legal Counsel. BERGER stated that he has no recollection of this sale and that because of his lack of personal involvement in the management of the stocks and bonds, he is unable to state why the PUTNAM was sold and the AMOCO was not.

At the conclusion of the interview, BERGER's attorney noted that it would not be necessary to further interview BERGER if the interviewers were satisfied with his explanation. It was pointed out to BERGER and his attorney that there were still unanswered questions. As such, it was impossible to decide whether or not the investigation could be discontinued.

(06/01/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 09/16/1996

To: WASHINGTON FIELD **Attn:** SA
SQUAD IC-20 NVMRA

From: CHICAGO
SQUAD 7B
Contact: SA

Approved By:

Drafted By:

b6
b7C

Case ID #: 58A-WF-200802

Title:

SAMUEL RICHARD BERGER,
AKA "SANDY" BERGER,
SPECIAL ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO-COI

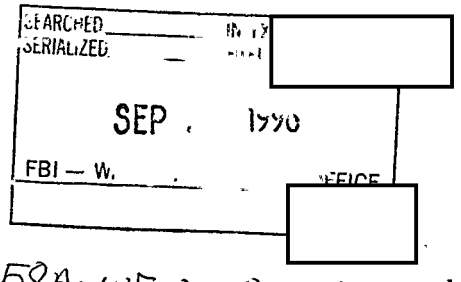
Synopsis: To set forth results of investigation.

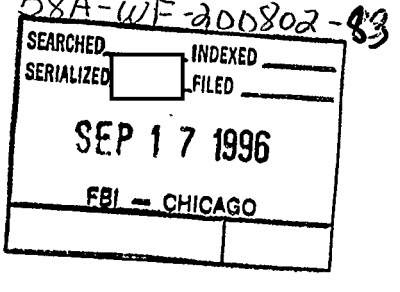
Enclosures: One copy each of the

b3

Details: Enclosed is one copy each of the as requested in lead to Chicago dated 8/14/96.

♦♦





b6
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360 EC

-448 (Rev. 5-23-90)

FBI FACSIMILE COVERSHEET

CLASSIFICATION

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: _____
Sender's Initials: _____
Number of Pages: 2

To: PUBLIC INTEGRITY Date: 9-18-96
(Name of Office)

Facsimile number: 514-3003

Attn: [redacted] 514-1456
(Name) Room Telephone No.)

From: WMFO/NVMRA
(Name of Office)

Subject: BERGER/[redacted]

b6
b7C

Special Handling Instructions: _____

Originator's Name: SA [redacted] Telephone: 202 324-6172

Originator's Facsimile Number: _____

Approved: [redacted]

58A-200 [redacted] 84

SEARCHED SERIALIZED [redacted]
SEP 17 1996
FBI [redacted]

********** -JOURNAL- ********** DATE SEP-18-1996 ***** TIME 09:28 **********

DATE/TIME = SEP-18 09:27
JOURNAL NO. = 08
COMM.RESULT = OK
PAGES = 02
DURATION = 00:00'55
MODE = XMT
STATION NAME =
TELEPHONE NO. = [redacted] b3
RECEIVED ID =
RESOLUTION = STANDARD

-FBI Nat Comp Crime Squad -

********** [redacted] 202 324 [redacted] **********

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 09/18/1996

To: WFO **Attn:** SA [redacted]

From: Philadelphia
(Allentown RA)
Contact: SA [redacted] (610-433-6488)

Approved By: [redacted]

Drafted By: [redacted]

b6
b7C

Case ID #: 58A-WF-200802 ~~(Pending)~~

Title: [redacted]

SAMUEL RICHARD BERGER, aka
"Sandy Berger,
SPECIAL ASSISTANT TO THE
PRESIDENT FOR NATIONAL SECURITY;
CFPO-COI

Synopsis: [redacted] interviewed.

Enclosures: Original and one copy of an FD-302 reflecting the interview of [redacted] and Agent's original notes regarding that interview.

b3
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b7C

Details: In response to WFO EC dated 8/13/1996, [redacted] was interviewed on 9/10/1996.

Investigation as requested by WFO has been completed at Philadelphia-Wyomissing, PA.

58A-WF-200802-86

[redacted]

b6
b7C

♦♦

[redacted]

[redacted]

[redacted]

This subpoena was NOT served, due to dates. New subpoena was issued and served.

SA [redacted] (215) 418-4334

b6
b7C

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 10/01/1996

To: CRIMINAL INVESTIGATIVE **Attn:** PCU / SSA
PHILADELPHIA **Attn:** SA
(215) 829-2700 x2760

From: WASHINGTON FIELD
Squad C-20 / NVMRA
Contact: SA X6172

Approved By

Drafted By:

b6
b7C

File Number(s): 58A-WF-200802-87 ~~(Pending)~~

Title: ACSN
ACSNeg
SAMUEL RICHARD BERGER, aka ACSNeg
"SANDY" BERGER, ACSNeg
SPECIAL ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFDO - COI

Synopsis: To enclose subpoena directed to

Reference: 58A-WF-200802-61

b3
b6
b7C

Enclosures: Enclosed for Philadelphia are the original and one copy of a subpoena duces tecum and a cover letter addressed to

Details: Referenced communication set forth lead for Philadelphia to contact

1 - Bureau
1 - Philadelphia (Encl. 2)
1 - Washington Field

Subpoena detached & returned as unserved 11/13/96

GRAND JURY MATERIAL - DISSEMINATE ONLY PURSUANT TO RULE 6(e) FED.R.CRIM.P.

58A-WF-200802-87

SEARCHED INDEXED
SERIALIZED FILED
OCT 31 1996
FBI - WASH. METRO FIELD

10-10-96 Re FA

b6
b7C

FEDERAL BUREAU OF INVESTIGATION

To: CRIMINAL INVESTIGATIVE From: WASHINGTON FIELD
Re: 58A-WF-200802, 10/01/1996

[redacted]

requested subpoena prior to release of information. The enclosed subpoena [redacted]

For information of CID and Philadelphia, BERGER consented to interview on 9/12/96. During that interview, he admitted that [redacted] Furthermore, BERGER stated that copies of statements from trusts were received at the BERGER residence. BERGER denied reading the statements (and thus knowing of their contents), but admitted that [redacted] BERGER could not state whether or not the contents of those trusts had been included on his financial disclosure forms. It is believed that the statements of trusts obtained from the BERGER financial advisor are [redacted]

b3
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b7C

To: CRIMINAL INVESTIGATIVE From: WASHINGTON FIELD
Re: 58A-WF-200802, 10/01/1996

LEAD(s):

Set Lead 1:

PHILADELPHIA

AT PHILADELPHIA, PENNSYLVANIA

Will serve enclosed subpoena on [redacted] b3

[redacted]

♦♦

CO 293 (Rev. 8/91) Subpoena to Testify Before Grand Jury

United States District Court

For the DISTRICT OF District of Columbia

G.J. 95-3

TO:

SUBPOENA TO TESTIFY BEFORE GRAND JURY

b3

SUBPOENA FOR:

YOU ARE HEREBY COMMANDED to appear and testify before the Grand Jury of the United States District Court at the place, date, and time specified below.

PLACE	COURTROOM
U.S. Courthouse 3rd & Constitution Avenue Washington, D.C.	Grand Jury Room -- 3rd Floo
	DATE AND TIME

YOU ARE ALSO COMMANDED to bring with you the following document(s) or object(s):*

b3

☐ *Please see additional information on reverse.*

This subpoena shall remain in effect until you are granted leave to depart by the court or by an officer acting on behalf of the court.

U.S. MAGISTRATE OR CLERK OF COURT	DATE
Nancy M. Mayer-Whittington, Clerk	September 25, 1996
(BY) DEPUTY CLERK	

b6
b7C

This subpoena is issued upon application of the United States of America.

NAME, ADDRESS AND PHONE NUMBER OF ASSISTANT U.S. ATTORNEY

Public Integrity Section/Criminal Div.
U.S. Department of Justice
P.O. Box 27518/Central Station
Washington, D.C. 20038

*If not applicable, enter "none."

FD-302 (Rev. 10-6-95)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 10/21/96

[redacted] was served with Grand Jury Subpoena at the above address at approximately 9:45 a.m. on 10/21/96. Subpoena, issued by District of Columbia on [redacted] commands [redacted] before Grand Jury, U.S. Courthouse, 3rd and Constitution Avenue, Washington, D.C. on [redacted] After being advised of the identity of the serving agent, [redacted] read and accepted the subpoena and cover letter for [redacted] was instructed to [redacted] SA [redacted]

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Investigation on 10/21/96 at PHILADELPHIA

File # 58A-WF-200802-33 Date dictated 10/21/96

by SA [redacted]

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This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

58A-WF-200582-88

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SERIALIZED_____ FILED

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FBI — WASH. METRO FIELD OFFI

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(12/31/1995)

Subp.ec (WP 6.1) 20

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 10/21/1996

To: WFO **Attn:** SA
(202) 324-6172

From: PHILADELPHIA
SQUAD 6
Contact: SA

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b7C

By:

By:

Case ID #: 58A-WF-200802 89 ~~(Pending)~~

Title:

SAMUEL RICHARD BERGER,
AKA "SANDY" BERGER,
SPECIAL ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURIY;
CFPO-COI

GRAND JURY MATERIAL - DISSEMINATE PURSUANT TO RULE 6(e)

Synopsis: Served subpoena to on 10/21/96.

Reference: 58A-WF-200802 Serial 61

Enclosures: Original subpoena executed by SA on 10/21/96, original FD-302 and two copies re execution of subpoena.

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Details: On subpoena re was received by Philadelphia. On Monday, 10/21/96, subpoena served to read the subpoena and cover letter and stated that She indicated Day was instructed to coordinate providing the required documents with SA

This lead is considered covered by PHILADELPHIA.

♦♦

58A-WF-200802 89

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 10/29/1996

To: WFO **Attn:** C 20 NVRA
SA [redacted]
(202) [redacted]-6172

From: Philadelphia
Squad 6
Contact: SA [redacted] (215) 829-2991

[redacted] **oved By:** [redacted]

Drafted By: [redacted]

Case ID #: 58A-WF-200802 ~~(Pending)~~

Title: [redacted]

SAMUEL RICHARD BERGER,
AKA "SANDY" BERGER,
DEPUTY ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY
CFPO-COI

Synopsis: Subpoenaed documents received from [redacted] on 10/29/96.

Reference: 58A-WF-200802 Serial 61

Enclosures: Copy of [redacted] affidavit re subpoenaed documents.

Administrative: Re telephone calls between SA [redacted] and [redacted]

Details: On 10/28/96 SA [redacted] telephonically contacted [redacted] and [redacted] required by subpoena that was served on [redacted] on 10/21/96. [redacted] and [redacted] at approximately 2:00 p.m. on 10/29/96.

[redacted] sent under separate cover.

This lead is considered covered by Philadelphia.

[redacted]

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 11/05/1996

To: Criminal Investigative WFO **Attn:** Public Corruption Unit
SAC William C. Megary
ASAC [redacted]

From: SA [redacted]
C 20 NVRA
Contact: (202)324-9115

Approved By: [redacted]

Drafted By: [redacted] b6 b7C

File Number(s): 58A-WF-200802 ~~(Pending)~~

Title: [redacted]
Samuel Richard Berger,
aka "Sandy" Berger,
Deputy Assistant to the President for National Security;
CFO-COI

Synopsis: The following is a summary of a meeting held on 10/31/96, at the Department of Justice (DOJ) Public Integrity Section (PIS) between WFO SA [redacted] and PIS Attorneys Susan Park and BEA Witzleben to discuss the current status of the above captioned case and to discuss further investigative options. b6 b7C

Details: CURRENT STATUS:

On 9/12/96, Samuel R. Berger was interviewed by WFO and DOJ PIS attorneys. During the course of the interview [redacted] b5

[redacted]

[redacted] was interviewed extensively on 10/1, 10/2, 10/4, 10/7 & 10/8/96, by WFO and PIS Attorneys. [redacted] b5 b6 b7C

58A-WF-200802

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[redacted]

All participants agreed that as a result of the Berger and [redacted] interviews, we are much further along in isolating a "particular matter" in which Samuel Berger had substantial participation. However, we have not yet made substantial progress in the same area with respect to [redacted]

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Specifically, [redacted]

Despite the evidence accumulated to date against Berger, it is the stated opinion of Susan Park, DOJ PIS, that [redacted]

[redacted] In addition, both Park and Witzleben believe [redacted]

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FEDERAL BUREAU OF INVESTIGATION

To: Criminal Investigative WFO From: SA [redacted]
Re: 58A-WF-200802, 11/01/1996

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[redacted]

With the above delineated issues in mind, PIS and WFO have agreed to continue the investigation with the following goals:

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[redacted]

In order to accomplish the above, the following interviews are anticipated:

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[redacted]

WFO will continue to keep PCU, CID advised of pertinent developments regarding captioned matter.

(06/01/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 11/22/1996

To: CID **Attn:** PCU
IRU 1, IROSB
WFO **Attn:** SA [redacted] SQD C-20

From: BRUSSELS
Contact: ALAT [redacted]

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Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 58A-WF-200802 ~~(Pending)~~

Title: [redacted]
ET AL;
CFO-COI

Synopsis: Interview of [redacted] not conducted at Brussels. All leads covered.

Reference: 58A-WF-200802 Serial 77

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Details: On 9/23/96 Brussels was advised by [redacted] that Department of Justice (DOJ) attorneys had contacted her directly and had scheduled interview for her at later time in Washington, D.C. On same date WFO confirmed this in Brussels telcall between ALAT and WFO case agent.

All leads covered.

Lead covered 12-30-96 [redacted]

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SERIALIZED FILED
DEC 26 1996
FBI - WASH. METRO FIELD OFFICE

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(06/01/1995)

FEDERAL BUREAU OF INVESTIGATION

To: CID From: BRUSSELS
Re: 58A-WF-200802, 11/22/1996

LEAD(s):

Set Lead 1:

WF

AT WASHINGTON, DC

Review above and clear lead from ACS.

♦♦

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 09/17/1996

To: WFO **Attn:** C 20 NVMRA
SA
(202) 324-61X2

From: Philadelphia
Squad 6
Contact: SA (215) 829-2991

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[redacted]
[redacted]ved By:
Dr[redacted] By:

Case ID #: 58A-WF-200802 (Pending)

Title:

SAMUEL RICHARD BERGER,
AKA "SANDY" BERGER,
DEPUTY ASSISTANT TO THE PRESIDENT FOR NATIONAL SECURITY
CFPO-COI

Synopsis: Telephonically contacted [redacted] will require a subpoena.

Reference: 58A-WF-200802 Serial 61

Administrative: Re telephone calls between SA [redacted] and [redacted] telephone [redacted] and between SA [redacted] Esquire, telephone [redacted]

Details: On the morning of 9/17/96, [redacted] refused to disclose any information in this matter, contending that a subpoena must first be issued [redacted]

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Subsequently, SA [redacted] telephoned [redacted] and informed [redacted] that [redacted] and that we are seeking only general information about [redacted] informed SA [redacted] that he considers this protected information and a subpoena would be required for specifics; however, [redacted] stated that, typically, [redacted]

58A-WF-200802-94

would be sent to the person who [redacted]

[redacted] called later, still on 9/17/96, and informed SA [redacted] that the mailing of [redacted] can be provided when subpoena is received. b3 b6 b7C

This lead is considered covered, pending WFO sending subpoena to Philadelphia to obtain additional information.

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 12/03/1996

To: WASHINGTON FIELD **Attn:** SAC MEGARY

[redacted] SA [redacted]
Squad C-20 / NVRA
Contact: SA [redacted]

Approved By [redacted]

Drafted By: [redacted]

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b7C

Case ID #: 58A-WF-200802 (Pending)

Title: [redacted]

SAMUEL RICHARD BERGER,
AKA "SANDY" BERGER,
SPECIAL ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO - COI

Synopsis: To synopsize events leading to an interview of [redacted] at 1 p.m., 12/3/96.

Details: On 11/27/96, a voice mail was left for the writer from Trial Attorney SUSAN PARK, Public Integrity Section, stating that [redacted]

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SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
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FBI — WASH. METRO FIELD OFFICE [redacted]

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58A-WF-200802-95

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 12/13/1996

To: Criminal Investigative WFO **Attn:** Public Corruption Unit
SAC William C. Megary
ASAC [redacted]

From: SA [redacted]
C 20 NVRA
Contact: (202)324-9115

Approved By [redacted] b6 b7C

Drafted By: [redacted]

File Number(s): 58A-WF-200802 (Pending)

Title: [redacted]
Samuel Richard Berger,
aka "Sandy" Berger,
Deputy Assistant to the President for National Security;
CFO-COI
OO: WFO

Synopsis: The following is a summary of recent developments in the above captioned case and meetings held on 11/26/96, and 12/09/96, at the Department of Justice (DOJ) Public Integrity Section (PIS) between WFO and PIS to discuss the current status of the above captioned case and further investigative options. At the 12/09/96, meeting, WFO repeated its request for, and PIS agreed to the issuance of, Grand Jury subpoenas for [redacted] b3 b5

cc:1-FBIHQ
1-SAC MEGARY
1-ASAC [redacted]
1-SSA [redacted]
1-FILE

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FBI — WASH. METRO FIELD OFFICE

#12721

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

To: Criminal Investigative WFO From: SA [redacted]
Re: 58A-WF-200802, 11/01/1996

Details: NEW DEVELOPMENTS:

On 11/21/96, Susan Park, DOJ PIS, [redacted]

[redacted]

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(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

To: Criminal Investigative WFO From: SA [redacted]
Re: 58A-WF-200802, 11/01/1996

[redacted] b5 b6 b7C

In the December 9, 1996, meeting, PIS Section Chief [redacted] advised that the investigation should focus on the Intent issue during the next 30 days. He explained that [redacted] or Berger could be involved on multiple energy related matters but that would be moot if they did not have the requsite intent to violate the statute. WFO believes further investigation should be carried out before any final determination is made. Particularly in light of the fact that [redacted] b3 b6 b7C

[redacted]

On Thursday, December 05, 1996, President Clinton announced his nominations for his new National Security Team. Among these nominations were [redacted] and Berger, who was named to replace Lake as National Security Advisor (NSA). [redacted] b3 b6 b7C b7E

[redacted]

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

To: Criminal Investigative WFO From: SA [redacted]
Re: 58A-WF-200802, 11/01/1996

In light of this development, on 12/09/96, a meeting was held between WFO and PIS to discuss the future of captioned investigation. Present for this meeting were: SSA [redacted] SA [redacted] and SA [redacted] FBI WFO, and Chief [redacted] Deputy Chief Litigation [redacted] Susan Park and Bea Witzleben, DOJ PIS. [redacted] announced [redacted] has been assigned to personally supervise captioned case with the goal of [redacted]

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PIS agreed to WFO's request for [redacted]

With the above delineated issues in mind, PIS and WFO have agreed to continue the investigation with the following immediate goals:

[redacted]

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(03/31/95)

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FEDERAL BUREAU OF INVESTIGATION

To: Criminal Investigative WFO From: SA [redacted]
Re: 58A-WF-200802, 11/01/1996

[redacted]

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BERGER:

1. Interview the following individuals:

[redacted]

Abner Mikva

[redacted]

[redacted]

WFO will continue to keep PCU, CID advised of pertinent developments regarding captioned matter.

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 12/16/1996

To: CID **Attn:** SSA [redacted]
PITTSBURGH **Attn:** SSA
ST. LOUIS **Attn:** SSA

From: WASHINGTON FIELD
Squad C-20 / NVRA
Contact: SA [redacted] (202) 324-6172

Approved By: [redacted] b6 b7C

Drafted By: [redacted]

Case ID #: 58A-WF-200802 (Pending)

Title: [redacted]

SAMUEL RICHARD BERGER,
Aka "SANDY" BERGER,
Deputy Assistant to the President
For National Security
CFPO - COI

Synopsis: To set forth leads to check Federal Records Centers for indications that [redacted] b6 b7C

Details: For the information of Pittsburgh and St. Louis, WFO has been conducting an investigation of captioned subjects since August, 1995. This investigation is being conducted with the Public Integrity Section (PIS) of DOJ following a referral to PIS by the White House Counsel's Office.

The fact situation involved is that both subjects filled out Financial Disclosure forms upon entering their current positions (1/20/93). A review of the forms by White House Counsel's Office determined that the positions of the two men and the activities they were likely to engage in could lead to potential conflict of interest if certain common stocks were

2 - Bureau
2 - Pittsburgh
2 - St. Louis
1 - WFO

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SEARCHED [redacted] INDEXED
SERIALIZED [redacted] FILED
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[redacted] b6 b7C

12/14

continued to be held by the subjects and the subjects' immediate families. Specifically, it was believed that the holding of stocks in the energy/petroleum fields would be troublesome. Both subjects had identified for them the specific stocks held in the portfolios of the subjects and their immediate families. Neither took any action to divest themselves of the stocks and in fact continued to list the stocks on the disclosure forms for filing covering calendar years 1993 and 1994. The calendar year 1994 filing was made in the Spring of 1995 and its review occasioned the realization that the stocks had not been sold as directed and the subsequent referral leading to this investigation.

[redacted]

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[redacted]

For the assistance of Pittsburgh and St. Louis, [redacted] is described as a [redacted] DOB [redacted] SSAN [redacted]

(06/01/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 12/23/1996

To: Washington Field **Attn:** Squad C-20/NVRA
SA [redacted]

From: Pittsburgh
Squad 8/New Castle RA
Contact: SA [redacted] 412-652-9521

Approved By: [redacted]

Drafted By: [redacted]

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b7C

Case ID #: 58A-WF-200802 (Pending)

Title: [redacted]

SAMUEL RICHARD BERGER, aka
"Sandy" Berger,
DEPUTY ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO-COI

Synopsis: Review of OPM records at Boyers, PA regarding captioned matter negative on 12/18/1996.

Administrative: Reference Priority EC to Pittsburgh dated 12/16/1996 and PG telcal to SA [redacted] on 12/18/1996.

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Details: On 12/18/1996 OPM database records searched at Boyers, PA regarding specific leads set forth in referenced EC from WMFO dated 12/16/1996. No record on file at OPM Boyers, PA. Only information recorded at OPM Boyers, PA indicates that FBI conducted background investigation on captioned subject during December of 1992. This information would be available at FBIHQ. OPM Personnel indicated that the type of records being requested would be at the National Personnel Records Center at St. Louis, Missouri.

No further investigation is being conducted by the Pittsburgh Division at the New Castle Resident Agency.

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58A-WF-200802-101

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 01/13/1997

To: WFO ✓ **Attn:** Squa [redacted] 20/NVRA
SA [redacted]

From: St. Louis
Squad #7
Contact: IA [redacted] (314) 241-5357 b6 b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 58A-WF-200802 (Pending)

Title: [redacted]

SAMUEL RICHARD BERGER,
Aka "Sandy" Berger,
Deputy Assistant to the President
for National Security
CFPO-COI

Synopsis: [redacted] b6 b7C

Administrative: All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

Reference WFO Electronic Communication to CID, dated 12/16/1996.

Details: At St. Louis, Missouri

[redacted]

Investigation completed at St. Louis Division. b6 b7C

UPLOADED TO ACS/ECF:
BY SL [redacted] 1-22-97

58A-WF-200802-102

To: WFO From: St. Louis
Re: 58A-WF-200802, 01/13/1997

FD-448 (Rev 6/1/91)

FBI FACSIMILE COVERSHEET

PRECEDENCE
- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION
- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: _____
Sender's Initials: _____
Number of Pages: 5
(Including Cover Page)

To: PUBLIC INTEGRITY SECTION Date: 12/3/96
(Name of Office)

Facsimile Number: 514-3003

58A-WF-200802

Attn: [redacted] 514-1456
(Name Room Telephone)

From: WFO/NVRA
(Name of Office)

Subject: [redacted] /BERGER

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Special Handling Instructions: As requested, copy of [redacted]

RE INTERVIEW - FORMAL COMMUNICATION FOLLOWS

Originator's Name: [redacted] Telephone: 324-6172

Originator's Facsimile Number: 324-6426

58A-WF-200802-105

SEARCHED SERIALIZED INDEXED FILED [redacted]
FBI/DOJ
FBI — WASHINGTON FIELD OFFICE

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Approved: [redacted]

FD-350 (Rev. 5-8-81)

(Indicate page, name of newspaper, city and state.)
A-15
WASHINGTON POST

Date: 12/4/96 - WEDNESDAY
Edition:

Title: CLINTON MULLS NATIONAL SECURITY CHOICES

Character: FINAL DECISION ON POSITIONS IS NEAR, ADMINISTRATION OFFICIALS SAY
or
Classification:

Submitting Office: Squad C-2 [redacted] b6 b7C

Indexing:

CONTINUED ON PAGE 29 A-15

Clinton Mulls National Security Choices

Final Decision on Positions Is Near, Administration Officials Say

By John F. Harris
Washington Post Staff Writer

After several days of meetings, phone conversations and private mulling over his choices, President Clinton is nearing final decisions on who will lead his national security team for a second term, administration officials said yesterday.

There were clear indications yesterday that Clinton already has reached at least tentative decisions about some top jobs. People within the White House and at other agencies said it seemed all but assured that White House national security adviser Anthony Lake will move to be director of the Central Intelligence Agency and that his current job will be filled by deputy national security adviser Samuel R. "Sandy" Berger.

But White House press secretary Michael McCurry said flatly that Clinton has not made any final decisions. And while speculation flowed widely around Washington yesterday about who Clinton has decided upon, senior aides insisted that first-hand knowledge about where his thinking stands is confined to three people who met with him in the Oval Office for 2½ hours yesterday afternoon: Vice President Gore, Chief of Staff Leon E. Panetta and transition adviser Erskine B. Bowles, who will take over Panetta's job in the second term.

Madeleine K. Albright, U.S. ambassador to the United Nations, has emerged as the front-runner among four other candidates to replace Secretary of State Warren Christopher, according to several administration officials.

Clinton appears to be less settled on who will replace Defense Secretary William J. Perry at the Pentagon, where candidates for the top job include a Republican, retiring Sen. William S. Cohen (Maine), and CIA Director John M. Deutch, formerly Perry's top deputy. Clinton has considered reaching outside government to someone with industry experience for this post, but a Clinton adviser yesterday said this prospect is remote.

White House aides had said after the election that Clinton wanted to move quickly to name a national security team, but a month after his victory the jobs remain unfilled, leaving aides to defend their boss's decision-making process.

Clinton does not feel pressured to make fast decisions, McCurry said, because nominees "wouldn't be able to take office until confirmed by the Senate, and the Senate wouldn't be in a position to do that until next year in any event."

"He is moving along at a pace that he feels is proper, because he's going to have to pick a Cabinet that he will work with for four years and he wants to make decisions that will put him in a position of enjoying the kind of continuity that he's enjoyed with his first-term Cabinet," McCurry said.

Filling his second-term team has dominated Clinton's schedule since returning from an Asia trip a week ago, including over the Thanksgiving weekend, when he discussed the issues in conference calls with Gore, Panetta and Bowles. He left for Camp David with briefing binders on the candidates, including preliminary vetting information about them, and since returning has held numerous meetings and talked on the phone with a broad variety of people inside and outside the government.

The decisions on the national security team, aides said, is complicated by two factors. One is the conclusion Clinton made early on that he wants to announce an entire team at once. This reflects his judgment that it is essential that the different foreign policy principals work together, aides said. As a practical matter, however, aides acknowledge it has turned the transition into something of a chess game: Once a decision seems close to being made for one

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
JAN 27 1997
FBI — WASH. METRO FIELD OFFICE
[redacted]
b6 b7C

SEA-WF-200802-106

FD-350 (Rev. 5-8-81)

job, it prompts a new round of deliberations about the implications for the other jobs.

In addition, aides said, Clinton has been brooding about his personal chemistry with the various candidates and whether he would be comfortable working with them over time.

This question of chemistry has proven especially important for the secretary of state job. Former assistant secretary of state Richard C. Holbrooke is the candidate with the most commanding personal style, but some administration officials said his instinct for the spotlight and for dominating colleagues was a liability.

Retiring Sen. Sam Nunn (D-Ga.), another candidate for the State job, has a milder personality and enjoys respect on Capitol Hill. But he has never enjoyed a close relationship with Clinton and in fact caused him considerable trouble early in the administration, when he opposed Clinton's proposal to end the military's ban on homosexuals.

Former Senate majority leader George J. Mitchell, once considered the top contender, has seen his prospects fade a bit after criticism from Republicans that he was a smug and harshly partisan figure during his tenure on Capitol Hill. Former ambassador to Russia Thomas R. Pickering, who enjoys legendary respect among the career foreign service corps, has lingered throughout the deliberations as a dark horse possibility.

Clinton told one confidant nearly three weeks ago that he thought it was best that Lake move on to a new position after four years as national security adviser, and that Berger—with whom Clinton enjoys a somewhat closer personal relationship—was the right person to move up. Both Lake and Berger declined an interview request yesterday through a White House spokesman.

Clinton's intensive involvement—he has spoken with the candidates for the various jobs as well as talking on the phone with others about them—has inevitably fueled speculation about names that have been considered only in passing, according to administration officials.

Clinton himself yesterday made fun of the waiting game. He's been suffering from a badly hoarse voice for several days, and when a reporter suggested that his throat troubles may be responsible for the delay in appointments, Clinton responded: 'It's a hoax."

Staff writer Al Kamen contributed to this report.

(Indicate page, name of newspaper, city and state.)
A-15
WASHINGTON POST

Date: 12/4/96 - WEDNESDAY
Edition:

Title: CLINTON MULLS NATIONAL SECURITY CHOICES

Character: FINAL DECISION ON POSITIONS FS
or
Classification: NEAR ADMINISTRATION

Submitting Office: OFFICIALS
Squad C-2

b6
b7C

Indexing:

CONTINUED FROM PAGE 1 A-15

BY JAMES A. PARCELL—THE WASHINGTON POST

President Clinton and Donna E. Shalala, secretary of health and human services, listen to Vice President Gore during a briefing on AIDS research in the Oval Office at the White House.

FBI C

FD-350 (Rev. 5-8-81)

Clinton Reflects on Tentative Choices for National Security Team

By John F. Harris
Washington Post Staff Writer

Under orders by doctors to rest his badly strained voice, President Clinton took to the golf course yesterday afternoon to brood in solitude over who should fill his national security team, with aides saying an announcement could come as early as today.

Clinton, according to some aides, appears to have reached at least tentative decisions about who should fill several of the top foreign policy, defense and intelligence jobs in a second term, but wanted more time to reflect on the choices before making them final. After returning from the Army-Navy Country Club in Arlington yesterday, he met with Vice President Gore, who is playing a pivotal role in personnel choices during the transition.

For the past couple of days, Madeleine K. Albright, ambassador to the United Nations, has been widely viewed within the administration as the front-runner to be Warren Christopher's replacement as secretary of state, and various officials said that appeared to remain the case yesterday.

The most widely anticipated scenario, in what because of retirements and promotions is certain to be an extensive reshuffling among top officials, is that Albright will go to State and that national security adviser Anthony Lake would move to be head of the Central Intelligence Agency, with his current deputy, Samuel R. "Sandy" Berger, moving up to take over the National Security Council.

Still cloudy is who would take over from retiring Defense Secretary William J. Perry at the Pentagon. Retiring Sen. William S. Cohen (R-Maine) is the most frequently mentioned name, because of Clinton's stated desire to include Republicans in the administration. But CIA Director John M. Deutch, who served earlier as Perry's deputy at Defense, remains in the mix.

The problem with most of the current speculation, according to White House aides, is that it is being circulated by people who at best are once removed from the inner council. Even senior administration officials said Clinton's most serious deliberations—as distinct from the wide variety of transition conversations he has had with associates inside government and on the outside—are restricted to three people: Gore, outgoing Chief of Staff Leon E. Panetta and transition adviser Erskine Bowles, who will replace Panetta next month. Those people aren't talking.

The other problem with much of the buzz about Clinton's thinking, according to White House aides, is that it is subject to change. During the first transition four years ago, he was close to decisions on candidates only to rethink them. That could happen again this time, aides say, because of the prime importance Clinton is assigning to whether he is personally comfortable with the members of his foreign policy team and whether they would work well together. Clinton has said he wants to name the team all at once.

Deputy Secretary of State Strobe Talbott had earlier been widely named as a contender for national security adviser. If Berger gets the job, there was conflicting speculation yesterday about whether Talbott would stay in his current job or come over to the National Security Council as deputy to Berger, with whom he has a close personal relationship.

Clinton's voice has been hoarse and croaking for almost two weeks. After it didn't seem to be improving, White House press secretary Michael McCurry said, doctors examined his throat with a fiber-optic tube yesterday but found only the usual problems: a weak voice from a combination of overuse and a condition in which stomach acids sometimes rise and cause irritation. The doctors ordered him to keep his speaking to a minimum for several days, McCurry said, adding that he did not expect this order to interfere with either Clinton's decision-making on the Cabinet or an announcement of his choices.

(Indicate page, name of newspaper, city and state.) A-4 WASHINGTON POST

Date: 12/5/96 - THURSDAY
Edition:

Title: CLINTON REFLECTS ON TENTATIVE CHOICES FOR NATIONAL SECURITY TEAM

Character:
or
Classification: 58A-WF-200802

Submitting Office: Squad C-2[redacted] b6 b7C

Indexing:

58A-WF-200802-107

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
DEC 6 4 1996
FBI — WASH. METRO FIELD OFFICE
[redacted] b6 b7C

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 12/09/1996

To: ADIC, WFO

From: WFO, Squad C-20
Tysons RA
Contact: SA [redacted] EXT.:6161

Approved By: [redacted]
ASAC [redacted]

b6
b7C

Drafted By: [redacted]

Case ID #: 58A-200802 ~~(Pending)~~

Title: [redacted]
Samuel Richard Berger,
aka, "Sandy" Berger,
Deputy Assistant to the President
for National Security Affairs;
CFO-COI

Synopsis: Draft Request

Details: [redacted]

b7E

C-20 [redacted]
ASAC [redacted]

b6
b7C

58A-WF-200802

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
DEC 24 1996
FBI — WASH. METRO FIELD OFFICE
[redacted]

FD-448 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted:
Sender's Initials: [redacted] b6 b7C
Number of Pages: 2
(including coversheet)

To: Public Integrity Date: 1/8/97
Name of Office

Facsimile Number: 202 514-3003

Attn: [redacted] x 202 514-1456
Name Room Telephone b6 b7C

From: [redacted]
Name of Office

Subject: [redacted] BERGER

Special Handling Instructions:

Originator's Name: SA [redacted] Telephone: 202 324-6172 b3 b6 b7C

Originator's Facsimile Number: 202 324 6426

58-WF-200802-113

Approved:

Brief Description of Communication Faxed: Copy of 1/6/97

SEARCHED INDEXED
SERIALIZED [redacted]
FEB 1 [illegible]
FBI — WASH. METRO FIELD

DATE/TIME = JAN-08 15:27
JOURNAL NO. = 15
COMM.RESULT = OK
PAGES = 02
DURATION = 00:00'55
MODE = XMT
STATION NAME =
TELEPHONE NO. = T 95143003
RECEIVED ID = 202 514 3003
RESOLUTION = STANDARD

58A-WF-200802

b6
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-XY-

FD-449 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted:
Sender's Initials: [redacted]
Number of Pages: 2
(including coversheet)

To: CRIMINAL INVESTIGATIVE
Name of Office

Date: 1/29/97

b6
b7C

Facsimile Number: 324-2043

58A-WF-200802-115

Attn: SSA [redacted]
Name

X
Room

324-8566
Telephone

From: [redacted]
Name of Office

Subject: [redacted] BERGER

[redacted] INDEXED FILED FEB 1 [illegible] FBI — WASH. METRO FIELD O[illegible]

Special Handling Instructions:

Originator's Name: SA [redacted]

Telephone: 324-6172

Originator's Facsimile Number: 324-6426

Approved:

b3
b6
b7C

Brief Description of Communication Faxed: [redacted]

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 01/15/1997

To: CRIMINAL INVESTIGATIVE **Attn:** SSA [redacted] PCU
WASHINGTON FIELD **Attn:** ADIC [redacted]
SAC MEGARY
ASAC [redacted]

[redacted]

SA [redacted]
Squad C-20 / NVRA
Contact: SA [redacted] (202) 324-6172

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 58A-WF-200802 (Pending)

Title: [redacted]

SAMUEL RICHARD BERGER,
Aka "SANDY" BERGER,
Deputy Assistant to the President
for National Security
CFPO - COI

GRAND JURY MATERIAL - DISSEMINATE PURSUANT TO RULE 6(e)

Synopsis: The purpose of this communication is to summarize investigation conducted since the last communication to FBIHQ and to report the results of a meeting with Public Integrity Section (PIS), DOJ, on 1/13/97. In the 1/13/97 meeting, PIS Section Chief [redacted] announced (a) his general opposition to the use of polygraphs in any situation; (b) his decision to [redacted]

[redacted]

b3
b5
b6
b7C

2 - FBIHQ
1 - SAC MEGARY
1 - ASAC [redacted]
1 - SSA [redacted]

58A-WF-200802-116

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
JAN 23 1997
FBI — WASH. METRO FIELD [redacted]

12825

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 01/22/1997

To: CRIMINAL INVESTIGATIVE **Attn:** SSA [redacted] PCU
WASHINGTON FIELD **Attn:** ADIC [redacted]
SAC MEGARY
ASAC [redacted]

Fro SA [redacted]
Squad C-20 NVRA
Contact: SA [redacted] 324-6172 b6 b7C

Approved B [redacted]

Drafted By: [redacted]

Case ID #: 58A-WF-200802 (Pending)

Title: [redacted]
SAMUEL RICHARD BERGER,
Aka "SANDY" BERGER,
DEPUTY ASSISTANT TO THE
PRESIDENT FOR NATIONAL SECURITY;
CFPO - COI

GRAND JURY MATERIAL - DISSEMINATE PURSUANT TO RULE 6(e)

Synopsis: The purpose of this communication is to summarize developments in this matter since last communication to FBIHQ on 1/15/97 and to report results of a conversation with Public Integrity Section (PIS) on 1/22/97. In the 1/22/97 meeting, PIS advised that on 1/15/97 [redacted]

[redacted] b5 b6 b7C

2 - Bureau
1 - ADIC [redacted]
1 - SAC MEGARY
1 - ASAC [redacted]
1 - SSA [redacted]

58A-WF-200802—118

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
JAN 2 3 1997
FBI — WASH. METRO FIELD OFFICE
[redacted]

12824

To: CRIMINAL INVESTIGATIVE From: SA [redacted]
Re: 58A-WF-200802, 01/22/1997

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[redacted]

INVESTIGATIVE ACTIONS TAKEN

[redacted] was interviewed at his office. [redacted] is currently [redacted] stated he was [redacted] Office from approximately 3 or 4/93 until February, 1994, when he became [redacted] to [redacted] and BERGER.

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b6
b7C

[redacted]

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/03/1997

To: Washington Field **Attn:** Public Corruption Unit

From: SA [redacted]
C-20 NVRA WFO
Contact: (202) 324-6161

Approved By [redacted]

Drafted By: [redacted]

Case ID #: 58A-WF-200802 (Pending)

Title: [redacted]
Samuel Richard Berger,
aka "Sandy Berger,
Deputy Assistant to the President for National Security;
CFO-COI;
OO:WFO

b6
b7C

Synopsis: On Saturday February 1, 1997, members of the Department of Justice (DOJ) Public Integrity Section (PIS) met with Attorney General Janet Reno in order to brief her on the details and status of the above captioned investigation in preparation for [redacted]

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b7C

58A-WF-200802-122

12898

SEARCHED INDEXED
SERIALIZED FILED
FEB [illegible] 1997
FBI — WASH. METRO FIELD OFFICE

********** -JOURNAL- ********** DATE JAN-30-1997 ***** TIME 10:04 **********

DATE/TIME = JAN-30 10:00
JOURNAL NO. = 30
COMM.RESULT = OK
PAGES = 07
DURATION = 00:03'30
MODE = XMT
STATION NAME =
TELEPHONE NO. = T 93242043
RECEIVED ID = 202 324 2043
RESOLUTION = STANDARD

S&A-WF-200802-123

SEARCHED _____ INDEXED _____
SERIALIZED _____ FILED _____
FEB 10 1997
FBI — WASH. METRO FIELD OF

202 324/6363 **********

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b7C

FD-448 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: _____
Sender's Initials: WH
Number of Pages: 7
(including coversheet)

To: CRIMINAL INVESTIGATIVE (Name of Office) Date: 1/30/97

Facsimile Number: 324-2043

Attn: SSA [redacted] (Name) X (Room) 324-8566 (Telephone)

From: WASHINGTON FIELD (Name of Office)

Subject: [redacted] BERGER

Special Handling Instructions: _____

Originator's Name: SA [redacted] Telephone: 324-6172

Originator's Facsimile Number: 324-6426

Approved: _____

Brief Description of Communication Faxed: CC OF 1/29/97 [redacted]

b6
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b6
b7C

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 01/31/1997

To: CRIMINAL INVESTIGATIVE **Attn:** SSA [redacted] PCU
WASHINGTON FIELD **Attn:** ADIC [redacted]
SAC MEGARY
ASAC [redacted]

From: SA [redacted]
Squad C-20 / NVRA/WFO
Contact: SA [redacted] (202) 324-6172

Approved By [redacted] b6 b7C

Drafted By: [redacted]

Case ID #: 58A-WF-200802 (Pending)

Title: [redacted]
SAMUEL RICHARD BERGER,
Aka "SANDY" BERGER,
DEPUTY SPECIAL ASSISTANT TO THE
PRESIDENT FOR NATIONAL SECURITY
CFO - COI

GRAND JURY MATERIAL - DISSEMINATE PURSUANT TO RULE 6(e)

Synopsis: To advise of briefing of AG on this matter by PIS on Saturday, 2/1/97, and of [redacted] b5 b6 b7C

Details: On 1/30/97, PIS Trial Attorney BEA WITZLEBEN advised WFO SA that [redacted]

1 - BUREAU
1 - ADIC [redacted]
1 - SAC MEGARY
1 - ASAC [redacted]
1 - SSA [redacted]

58A-WF-200802 - 124 b6

SEARCHED [redacted] INDEX [redacted] b7C
SERIALIZED [redacted] FILED [redacted]
FEB 3 1997
FBI — WASH. METRO FIELD OFFICE
[redacted]

12876

58A-WF-200805-129

SEARCHED_____ INDEXED_____
SERIALIZED_____ FILED_____
FEB 6 1997
FBI — WASH. METRO FIELD OFFICE

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b7C

TO: [redacted]

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b7C

_____, 1997

TO	ROOM	NAME/TITLE	TO	ROOM	NAME/TITLE
✓					
___	7176	DIRECTOR FREEH	___	7116	MR. GALLAGHER
		___ MR. R. BUCKNAM	___	3012	MR. KNEIR
			___	5012	MR. PRILLAMAN
			___	7443	MR. RINGGOLD
___	7142	MR. KENNEDY			
			___	7443	MR. BARRETT
___	3090	AD, LABORATORY	___	3155	MR. BREKKE
___	11255	MR. ARCHER	___	4330	MR. HUNT
___	6032	AD, FINANCE	___	3028	MR. LA MAGNA
___	7110	MR. BRYANT	___	5155	MR. MARQUISE
___	6012	MR. COYLE	___	3012	MR. MOSQUERA
___	7116	MR. ESPOSITO	___	3823	MR. OWENS
___	7825	MR. GORE	___	3028	MR. RILEY
___	5829	MRS. MORRIS	___	5012	MR. WILEY
___	ACADEMY	MR. WOLFINGER			
			___	7116	MRS. NEMECEK
___	7427	MR. SHAPIRO			
			___	7116	MS. PEACE
___	ACADEMY	MR. MONTGOMERY			
			___	5129	ADMIN. UNIT
___	7240	MR. COLLINGWOOD	___	3150	AUTOMATION UNIT
			___	5129	BUDGET UNIT
___	7129	MR. DE FEO	___	1B327	MAIL ROOM
			___	4981	SAMMS BOARD
___	7901	MR. PEREZ			

___ _____ DEADLINE: _____

ROOM_____

___ Call Me
___ See Me
___ Appropriate Action
___ Per Inquiry
___ For Your Info.
___ Prepare Response
___ For Your Approval
___ Status/Facts

During the briefing of the Director on 1/16 he asked to [redacted]

except for the title it's a duplicate of the document

[redacted]

NEIL J. GALLAGHER
DEPUTY ASSISTANT DIRECTOR
ROOM 7116, EXT. 5740/4865

ion

on

Date: 1/16/97

Name
Mr. Wiley
Mr. Hunt
ection Chief
Mr. Mosquera
Mr. Owens
Mr. Quijada
Mr. Riley

dmin. Unit
1_____
Budget Unit
1_____
Career Board
Correspondence Unit
Mail Room
ederal Express Desk
Reading Room
SIOC
Voucher Unit

Ms. Bailliere
Mr. Wincelowicz

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b7C

_____

___Status/Facts
___Prepare Response
___TO BE UPLOADED

Routed By

[redacted]

6426

************************** -JOURNAL- ************** DATE FEB-24-1997 ***** TIME 14:36 **********

DATE/TIME = FEB-24 14:35
JOURNAL NO. = 10
COMM.RESULT = OK
PAGES = 03
DURATION = 00:01'16
MODE = XMT
STATION NAME =
TELEPHONE NO. = T 95143003
RECEIVED ID = 202 514 3003
RESOLUTION = STANDARD

58A-WF-200802-
132

-XXX

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FD-448 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: _____
Sender's Initials: wjh
Number of Pages: 3
(including coversheet)

To: Public Integrity
Name of Office

Date: 2/24/97

Facsimile Number: 202-514-3003

Attn: BEA WITZLEBEN X 307-3586
Name Room Telephone

From: WASHINGTON FIELD/ NVRA
Name of Office

Subject: BERGER

Special Handling Instructions: _____

Originator's Name: SA [redacted] Telephone: 202-324-6172

Originator's Facsimile Number: 202-324-6426

Approved: _____

Brief Description of Communication Faxed: Here is [redacted]

[redacted]

b5
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b7C

Justice Dept. Investigating Berger's Investments

White House Acknowledges Probe of Another Top Member of National Security Team

By John F. Harris
and Pierre Thomas
Washington Post Staff Writers

The White House acknowledged yesterday that another top member of President Clinton's national security team is under investigation by the Justice Department for questions about his personal investments—the second such disclosure in as many days.

As President Clinton yesterday was defending national security adviser Anthony Lake, his choice to be director of central intelligence in his second term, from suggestions that he might have had a conflict of interest, a nearly identical set of questions arose about deputy national security adviser Samuel R. "Sandy" Berger.

Berger, whom Clinton has decided to promote into Lake's current job, was advised in 1994 by White House lawyers that he should sell a long-time family holding of oil stock, according to people familiar with his situation. After initially questioning the lawyers' judgment, Berger then agreed to sell the shares of Amoco stock but forgot to do it until he was reminded by White House lawyers more than a year later, these sources said.

Although Berger finally did sell the stock, then-White House counsel Abner J. Mikva said he had no choice under federal law but to refer the matter to the Justice Department's public integrity division, administration officials said.

White House Chief of Staff Leon E. Panetta and White House counsel Jack Quinn both said yesterday that Clinton was fully aware of the investigations into Lake and Berger at the time he announced their appointments. The president, they said, believed that both men had committed harmless oversights, neither of which was serious enough to stand in the way of naming them to new jobs.

After the Justice inquiry into Lake's finances became public yesterday, Clinton was asked by a reporter if the appointment was in trouble and whether he would "go to the mat" for Lake in a possible confirmation fight in the Senate. "No and yes," Clinton responded.

Some administration officials have grumbled privately that the Justice Department has been studying Berger's and Lake's actions for 16 months—an unfair and frustrating delay, they said.

But sources familiar with the probes said the reason they have taken so long is that they involve exhaustive reconstructions of the official decisions that Lake and Berger were involved in and whether these could have affected their personal financial interests.

The pace of the investigations has been slow, in part, because the FBI agents and Justice lawyers have hundreds of such decisions to study, some of which involve highly sensitive, classified matters. To gain access to such information requires clearance and there are often delays. The investigators have been intensively reviewing White House documents.

Lake, according to various sources familiar with his case, was advised in 1993 by the counsel's office that he should sell various energy stocks in his portfolio. Lake agreed, and has told investigators that he thought his secretary had passed along sell instructions to his broker and that the stocks had been sold. In 1995, however, the White House counsel's office reviewed his financial disclosure forms and discovered that he still owned the stocks. He then sold them.

On Capitol Hill yesterday, there were mixed signals about whether questions about Lake's finances would hurt his chances for confirmation. A spokeswoman for Sen. Richard C. Shelby (R-Ala.), in line to be head of the Senate intelligence committee, said her boss was "concerned about the stocks" although he had reached no conclusions and that he wants a "CIA director who can tell the difference between right and wrong."

But Sen. Bob Kerrey (D-Neb.), vice chairman of the intelligence panel, dismissed the matter as of little consequence. "I can't see anything in that," he said. "It's a mistake, like a bookkeeping error . . . not a moral collapse."

(Indicate page, name of newspaper, city and state.) A-16 WASHINGTON POST

Date: 12/13/96 - FRIDAY
Edition:

Title: JUSTICE DEPT. - INVESTIGATING BERGER'S INVESTMENTS

Character: WHITE HOUSE ACKNOWLEDGES PROBE OF ANOTHER TOP MEMBER OF NATIONAL SECURITY TEAM
or
Classification:

Submitting Office: Squad C-30

b6
b7C

Indexing:

CONTINUED ON PAGE 2

SBA-WF-200802-135

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]

FBI — WASH. METRO FIELD [redacted]

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(Indicate page, name of newspaper, city and state.)

A-16

WASHINGTON POST

Date: 12/13/96 - FRIDAY
Edition:

Title: JUSTICE DEPT. INVESTIGATING BERGERS' INVESTMENTS

Character: WHITE HOUSE ACKNOWLEDGES or PROBE OF ANOTHER TOP MEMBER
Classification: OF NATIONAL SECURITY TEAM
Submitting Office:

SQUAD C-3

b6
b7C

Indexing:

CONTINUED FROM PAGE 1 OF A-16

(Mount Clipping in Space Below)

As for Lake's ethics, Kerrey said, "I don't think anyone in this town questions Tony's word."

Berger's planned promotion does not require Senate confirmation.

Sources sympathetic to Berger and very familiar with his case offered the following chronology:

In 1993, he filled out a financial disclosure form that included 1,500 shares of stock in the Amoco oil company. It had been held for many years in a trust established by his wife's grandfather.

On Jan. 24, 1994, the White House counsel's office informed National Security Council legal adviser Alan J. Kreczko that Berger's stocks represented a potential conflict and that he should sell. Berger was skeptical. "Why?" he said in a handwritten note, asking for an explanation and whether it was possible that he could simply put the stocks in a blind trust.

His reluctance, a source said, was due to a fear that he would be hit with a large tax bill if he sold stocks that had been held for so long.

Kreczko wrote back on March 16, 1994, that Berger did indeed have to sell, noting that Berger was involved in such issues as whether to keep sanctions on Iraq and Libya, and that these policy decisions could affect his stock. He told Berger that the law allows officials to divest some items in their portfolio and buy others with no tax consequences. Berger agreed to sell.

But then he never did. The sources said he simply forgot about the matter, and was deeply chagrined when reminded about the stocks by the White House counsel's office in mid-June of 1995. He had by this time sold 200 shares of the stock to help pay for a child's college tuition, and within days he had sold the remaining 1,300 shares.

He sold them for $90,350. If he had divested in March of 1994, the Amoco shares would have sold for about $71,000. This gain corresponded with a broad increase in stock market prices during this period.

Panetta said yesterday that Clinton believes the questions about Lake and Berger will not affect their relations on Capitol Hill once lawmakers study the cases. "They've got such a clear defense," he said, adding that if people "are fair-minded they will reach the same conclusion" as Clinton, that no wrongdoing took place.

Staff writer Bob Woodward contributed to this report.

********** -COMM. [redacted]RNAL- ********** DATE FEB-27-199[redacted] *** TIME 13:18 *** P.01

MODE = MEMORY TRANSMISSION START=FEB-27 13:06 END=FEB-27 13:18

FILE NO.= 148

STN NO.	COM	ABBR NO.	STATION NAME/TEL.NO.	PAGES	DURATION
001	OK	[redacted]	95143003	034/034	00:11'14"

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TO PUBLIC INTEGRITY

BEA WITZLEBEN

514-3003

FROM [redacted]

324-6172

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34 PAGES

SBA-WF-200802-137

SEARCHED SERIALIZED INDEXED FILED

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FBI — WASH. METRO FIELD OFFICE

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TO PUBLIC INTEGRITY

BEA WITZLEBEN

514-3003

FROM [redacted]

324-6172

b5
b6
b7C

[redacted]

34 PAGES

FD-302 (Rev. 10-6-95)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 1/21/97

[redacted] white female, Date of Birth (DOB) [redacted] Social Security Account Number (SSAN) [redacted] was advised of the identity of the interviewing Agent by a display of credentials and of the nature of the inquiry. [redacted] was interviewed in a conference room of the Public Integrity Section (PIS) of the United States Department of Justice (USDOJ). Present throughout and participating in the interview was PIS Trial Attorney SUSAN PARK. [redacted] was accompanied by [redacted] an attorney, representing her. b5 b6 b7C

[redacted]

12962

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
FEB 18 1997
FBI/DOJ

Investigation on 12/17/96 at Washington, D.C.

File # 58A-WF-200802-138 Date dictated 1/20/97 b6 b7C

by SA [redacted]

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/03/1997

To: Washington Field **Attn:** Public Corruption Unit

From: SA [redacted]
C-20 NVRA WFO
Contact: (202) 324-6161

Approved By [redacted]

Drafted By: [redacted]

b6
b7C

Case ID #: 58A-WF-200802 (Pending)

Title: [redacted]

Samuel Richard Berger,
aka "Sandy Berger,
Deputy Assistant to the President for National Security;
CFO-COI;
OO:WFO

Synopsis: On Saturday February 1, 1997, members of the Department of Justice (DOJ) Public Integrity Section (PIS) met with Attorney General Janet Reno in order to brief her on the details and status of the above captioned investigation in preparation for her meeting with [redacted]

[redacted]

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b7C

58A-WF-200802-139

[redacted] FILED [redacted]

FBI — [redacted]

#13046

FEDERAL BUREAU OF INVESTIGATION
FOI/PA
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FOI/PA# 1340797-000

Total Deleted Page(s) = 120
Page 6 ~ b3; b6; b7C;
Page 7 ~ b3; b5; b6; b7C;
Page 8 ~ b3; b6; b7C;
Page 9 ~ b3; b6; b7C;
Page 12 ~ b6; b7C;
Page 15 ~ b6; b7C;
Page 16 ~ b6; b7C;
Page 19 ~ b6; b7C;
Page 20 ~ b6; b7C;
Page 21 ~ b6; b7C;
Page 24 ~ b6; b7C;
Page 25 ~ b6; b7C;
Page 28 ~ b3; b6; b7C;
Page 31 ~ b3; b6; b7C;
Page 32 ~ b3; b6; b7C;
Page 35 ~ b3; b6; b7C;
Page 38 ~ b3; b6; b7C;
Page 39 ~ b3; b6; b7C;
Page 40 ~ b3; b6; b7C;
Page 43 ~ b3; b6; b7C;
Page 44 ~ b3; b6; b7C;
Page 45 ~ b5; b6; b7C;
Page 46 ~ b6; b7C;
Page 47 ~ b6; b7C;
Page 48 ~ b6; b7C;
Page 49 ~ b6; b7C;
Page 50 ~ b6; b7C;
Page 51 ~ b6; b7C;
Page 52 ~ b6; b7C;
Page 53 ~ b6; b7C;
Page 56 ~ b3; b6; b7C;
Page 57 ~ b3; b6; b7C;
Page 58 ~ b3; b6; b7C;
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Page 65 ~ b3; b6; b7C;
Page 66 ~ b3; b6; b7C;
Page 69 ~ b5; b6; b7C;
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Page 71 ~ b5; b6; b7C;
Page 72 ~ b5; b6; b7C;
Page 73 ~ b5; b6; b7C;
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Page 80 ~ b3; b6; b7C;
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Page 119 ~ b3; b6; b7C;
Page 120 ~ b3;
Page 123 ~ b3; b6; b7C;
Page 124 ~ b3; b6; b7C;

Page 127 ~ b3; b6; b7C;
Page 128 ~ b3;
Page 131 ~ b3; b6; b7C;
Page 132 ~ b3; b6; b7C;
Page 135 ~ b3; b6; b7C;
Page 137 ~ b3; b6; b7C;
Page 138 ~ b3; b6; b7C;
Page 140 ~ b3; b6; b7C;
Page 141 ~ b3; b6; b7C;
Page 143 ~ b5; b6; b7C;
Page 144 ~ b5; b6; b7C;
Page 145 ~ b5; b6; b7C;
Page 148 ~ b6; b7C; b7E;
Page 151 ~ b3; b6; b7C;
Page 153 ~ Referral/Consult;
Page 154 ~ Referral/Consult;
Page 158 ~ b5; b6; b7C;
Page 160 ~ Referral/Consult;
Page 161 ~ Referral/Consult;
Page 162 ~ Referral/Consult;
Page 163 ~ Referral/Consult;
Page 164 ~ Referral/Consult;
Page 165 ~ Referral/Consult;
Page 166 ~ Referral/Consult;
Page 167 ~ Referral/Consult;
Page 168 ~ Referral/Consult;
Page 169 ~ Referral/Consult;
Page 170 ~ Referral/Consult;
Page 171 ~ Referral/Consult;
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Page 173 ~ Referral/Consult;
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Page 179 ~ Duplicate;
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Page 190 ~ b5; b6; b7C;
Page 191 ~ b5; b6; b7C;
Page 192 ~ b5; b6; b7C;
Page 193 ~ b5; b6; b7C;
Page 194 ~ b5; b6; b7C;
Page 195 ~ b5; b6; b7C;
Page 196 ~ b5; b6; b7C;
Page 197 ~ b5; b6; b7C;
Page 198 ~ b5; b6; b7C;
Page 199 ~ b5; b6; b7C;
Page 200 ~ b5; b6; b7C;
Page 201 ~ b3; b6; b7C;
Page 202 ~ b3; b6; b7C;
Page 203 ~ b3; b6; b7C;
Page 208 ~ b6; b7C;
Page 209 ~ b6; b7C;

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X For this Page X
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(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 03/12/1997

To: CRIMINAL INVESTIGATIVE **Attn:** SSA [redacted] PCU
WASHINGTON FIELD **Attn:** SAC J. C. CARTER
ASAC [redacted]

From: SA [redacted]
Squad C-20 / NVRA
Contact: SA [redacted] (202) 324-6172

b6
b7C

Approved By [redacted]

Draft [redacted] **By:** [redacted]

Case ID #: 58A-WF-200802 ~~(Pending)~~ 141

Title: [redacted]
SAMUEL RICHARD BERGER, Aka
"SANDY" BERGER,
DEPUTY ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY
CFPO - COI

GRAND JURY MATERIAL - DISSEMINATE PURSUANT TO RULE 6(e)

Synopsis: To provide historical overview of this investigation and to advise of developments in this matter since last communication, 2/3/97.

Administrative: Attached for recipients are 5 charts showing calculations in the net worth of various oil, gas and energy stocks held by BERGER and [redacted]

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Details: This matter was predicated upon receipt of a request from DOJ to assist in an investigation which in turn had been predicated upon a referral from the White House Counsel. This referral from then-White House Counsel ABNER MIKVA stated that upon entering on duty, then Special Assistant to the President for National Security, SAMUEL BERGER, filed out a Financial Disclosure Form (SF-278). When this form was reviewed, it was determined that the form contained holdings in oil, gas and energy stocks which could prove a source of conflict for BERGER in this position. BERGER was therefore advised on 1/24/94 to divest these holdings from a trust in which his wife is a beneficiary and from trusts which he [redacted] had established

SEARCHED [redacted] INDEX [redacted]
SERIALIZED [redacted] FILED [redacted]
MAR 1 0 199?
FBI — WASH. METRO FIELD OFFICE
[redacted]

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for [redacted] and for which BERGER was Trustee. BERGER, however, asked if there were no alternatives to divesting, namely, blind trusts, recusals, etc. He further noted that the stocks were worth approximately $80,000. By memorandum dated 3/16/94, BERGER was advised that there were no alternatives to divestiture. When interviewed, BERGER stated that at this point he just "forgot" to divest until June, 1995, when the matter was again brought to his attention. Divestiture of the stocks [redacted] occurred on 6/16/95 and divestiture from [redacted] occurred on 6/19/95. b6 b7C

Investigation to date has determined that the first submission of BERGER's initial Financial Disclosure Form claimed that the above-described trusts were "excepted trusts". White House Counsel's Office advised BERGER, however, that "excepted trusts" required that neither he nor [redacted] participated in the establishment of the trusts, had no knowledge of the contents of the trust nor participated in the management of the trust. If the trust was not an "excepted trust", BERGER was advised that the assets in the trusts had to be listed. A revised form was thereafter submitted. b6 b7C

Further investigation, however, showed that in addition to the above described trusts, [redacted] was a beneficiary on three other trusts and that [redacted] were beneficiaries on yet another trust. None of these trusts were listed on any Financial Disclosure form submitted by BERGER.

On 2/20/97, WFO SAs met with Trial Attorney BEA WITZLEBEN and [redacted] Deputy Chief, Public Integrity Section (PIS), DOJ. At this meeting, [redacted] b3 b5 b6 b7C

To: CRIMINAL INVESTIGATIVE From: SA
Re: 58A-WF-200802, 03/06/1997

b3
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WFO SAs set forth an analysis of

An analysis of the AMOCO stock **(See Tab "A")** in this trust showed (when BERGER first received a memorandum prepared for him to sign asking White House Counsel to seek Certificates of Divestiture) and 6/19/95 (when the stock was finally sold). In addition, it was noted that

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If the changes are calculated from 3/16/94 (when BERGER was told that there were no alternatives to divestiture) the changes include

In addition, it was noted that

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Public Integrity was also advised that were also beneficiaries of trusts.

The first trust was the trust for

A

C

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E

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F

H

CO 293 (Rev. 8/91) Subpoena to Testify Before Grand Jury

United States District Court

For the DISTRICT OF Columbia

TO:

SUBPOENA TO TESTIFY BEFORE GRAND JURY

b3

SUBPOENA FOR:

YOU ARE HEREBY COMMANDED to appear and testify before the Grand Jury of the United States District Court at the place, date, and time specified below.

PLACE	COURTROOM
U.S. Courthouse Third and Constitution Avenue, NW Washington, DC 20001	Grand Jury - 3rd floor
	DATE AND TIME

YOU ARE ALSO COMMANDED to bring with you the following document(s) or object(s):* b3

58A-WF-200802-146

☐ *Please see additional information on reverse.*

This subpoena shall remain in effect until you are granted leave to depart by the court or by an officer acting on behalf of the court.

U.S. MAGISTRATE OR CLERK OF COURT	DATE
Nancy M. Mayer-Whittington, Clerk	March 21, 1997
(BY) DEPUTY CLERK	

b6
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This subpoena is issued upon application of the United States of America

NAME, ADDRESS AND PHONE NUMBER OF ASSISTANT U.S. ATTORNEY

Dept. of Justice - Public Integrity Section
P.O. Box 27518 - McPherson Station
Washington, DC 20038

*If not applicable, enter "none."

CO 293 (Rev. 8/91) Subpoena to Testify Before Grand Jury

RETURN OF SERVICE (1)

RECEIVED BY SERVER	DATE	PLACE
SERVED	DATE	PLACE

SERVED ON (PRINT NAME)

SERVED BY (PRINT NAME)	TITLE

STATEMENT OF SERVICE FEES

TRAVEL	SERVICES	TOTAL

DECLARATION OF SERVER(2)

I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Return of Service and Statement of Service Fees is true and correct.

Executed on _____ _____
Date *Signature of Server*

_____
Address of Server

ADDITIONAL INFORMATION

(1) As to who may serve a subpoena and the manner of its service see Rule 17(d), Federal Rules of Criminal Procedure, or Rule 45(c), Federal Rules of Civil Procedure.

(2) "Fees and mileage need not be tendered to the witness upon service of a subpoena issued on behalf of the United States or an officer or agency thereof (Rule 45(c), Federal Rules of Civil Procedure; Rule 17(d), Federal Rules of Criminal Procedure) or on behalf of certain indigent parties and criminal defendants who are unable to pay such costs (28 USC 1825, Rule 17(b) Federal Rules of Criminal Procedure)".

********** -JOURNAL- ********** DATE MAR-21-1997 ***** TIME 16:17 **********

DATE/TIME = MAR-21 16:15
JOURNAL NO. = 11
COMM.RESULT = OK
PAGES = 05
DURATION = 00:02'07
MODE = XMT
STATION NAME =
TELEPHONE NO. = [redacted] b3
RECEIVED ID =
RESOLUTION = STANDARD

-XXX

********** 202 324 6363- **********

FD-448 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: [redacted]
Sender's Initials: [redacted] b6 b7C
Number of Pages: 5
(including coversheet)

To: [redacted] Date: 3/21/97
Name of Office

b3

Facsimile Number: [redacted]

Attn: [redacted]
Name Room Telephone

From: WASHINGTON FIELD/NVRA
Name of Office

Subject: SUBPOENA

Special Handling Instructions: Original to follow via FedEx

Originator's Name: SA [redacted] Telephone: 202-324-6172 b6 b7C

Originator's Facsimile Number: 202-324-6426

Approved: _____

Brief Description of Communication Faxed: Subpoena

( )

58A-WF 200802 - 147

searched
serialized
index
filed

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FD-448 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted:
Sender's Initials: [redacted]
Number of Pages: 5
(including coversheet)

To: [redacted]
Name of Office

Date: 3/21/97

Facsimile Number: [redacted]

Attn: [redacted]
Name Room Telephone

From: SA [redacted]
Name of Office

Subject: Subpoena

Special Handling Instructions: [redacted]

Originator's Name: SA [redacted] Telephone: 202-324-6172

Originator's Facsimile Number: 202-324-6426

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Federal Bureau of Investigation

[redacted]
Special Agent

Subpoena

Suite 200, South Tower
7799 Leesburg Pike
Falls Church, VA 22043

(202) 324-6172

CO 293 (Rev. 8/91) Subpoena to Testify Before Grand Jury

United States District Court

For the DISTRICT OF Columbia

TO:

SUBPOENA TO TESTIFY BEFORE GRAND JURY

b3

SUBPOENA FOR:

YOU ARE HEREBY COMMANDED to appear and testify before the Grand Jury of the United States District Court at the place, date, and time specified below.

PLACE	COURTROOM
U.S. Courthouse Third and Constitution Avenue, NW Washington, DC 20001	Grand Jury - 3rd floor
	DATE AND TIME

YOU ARE ALSO COMMANDED to bring with you the following document(s) or object(s):*

b3

☐ *Please see additional information on reverse.*

This subpoena shall remain in effect until you are granted leave to depart by the court or by an officer acting on behalf of the court.

U.S. MAGISTRATE OR CLERK OF COURT	DATE
Nancy M. Mayer-Whittington, Clerk	
(BY) DEPUTY CLERK	March 21, 1997

This subpoena is issued upon application of the United States of America.

NAME, ADDRESS AND PHONE NUMBER OF ASSISTANT U.S. ATTORNEY

Dept. of Justice - Public Integrity Section b6
P.O. Box 27518 - McPherson Station b7C
Washington, DC 20038

*If not applicable, enter "none."

DATE/TIME	=	MAR-21 15:40
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MODE	=	XMT
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RESOLUTION	=	STANDARD

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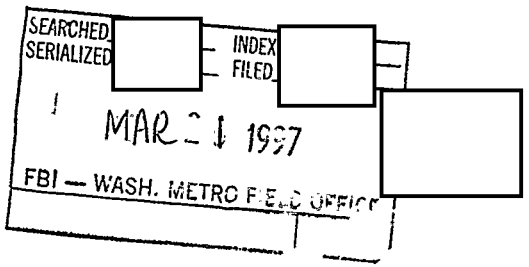
58A-WF-200802-HQ
148



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(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE **Date:** 05/02/1997

To: CRIMINAL INVESTIGATIVE **Attn:** SSA
HOUSTON

From: WASHINGTON FIELD
Squad C-20 / NVRA
Contact: SA (202) 324-6172

b6
b7C

Approved By:

Drafted By:

Case ID #: 58A-WF-200802 - 149 (Pending)

Title:

SAMUEL RICHARD BERGER,
Aka "SANDY" BERGER,
ACTING ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFO - COI

GRAND JURY MATERIAL - DISSEMINATE PURSUANT TO RULE 6(e)

Synopsis: To set forth lead to immediately interview

Details: Captioned matter resulted from referrals from the White House Counsel's Office that and BERGER (then Deputy Head of the NSC) may have committed violations of Title 18, USC, Section 208 (Conflict of Interest) in that each was told to divest themselves (and family members) of certain oil, gas, and energy stock holdings and that these two did not immediately do so.

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WFO first addressed the matter. At the same time, the President announced his intention to elevate BERGER to as National Security Advisor and Head of the NSC.

SEARCHED INDEXED
SERIALIZED FILED
JUL 02 1997
FBI — WASH. METRO FIELD OFFICE

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To: CRIMINAL INVESTIGATIVE From: WASHINGTON FIELD
Re: 58A-WF-200802, 05/02/1997

[redacted]

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BERGER's position stems initially from his family's holdings in AMOCO. Specifically, [redacted] is the beneficiary of a trust originally established by [redacted] which trust contained [redacted] of AMOCO. In addition, the BERGERs set up a trust for [redacted] and these trusts contained a total of [redacted] of AMOCO.

BERGER filed his original Public Financial Disclosure Statement in March, 1993. The information therein was subsequently reviewed by the White House Counsel's Office and eventually a determination was made that BERGER should divest his oil, gas and energy holdings because of the likelihood that these items would come before the NSC for action. On January 24, 1994, BERGER was formally advised of the need to divest. He questioned this decision and on March 16, 1994, was told that he had no alternatives to divestiture and that a waiver or recusal were not appropriate.

BERGER did not sell his family's AMOCO holdings although some PUTNAM ENERGY RESOURCES TRUST FUND shares were sold. It was not until June, 1995, that the White House Counsel's Office noticed from subsequent Financial Disclosure Report filings that BERGER had not divested as he should have. BERGER subsequently sold the AMOCO stock on 6/16 and 19/95.

Investigation has also determined that in addition to the AMOCO stock, BERGER's family members were the beneficiaries of a number of trusts which have never been listed on any Financial Disclosure Form. WFO is investigating this matter as a possible violation of Title 18, USC, Section 1001.

[redacted]

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To: CRIMINAL INVESTIGATIVE From: WASHINGTON FIELD
Re: 58A-WF-200802, 05/02/1997

Public Integrity Section (PIS), DOJ, has requested that

[redacted]

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To: CRIMINAL INVESTIGATIVE From: WASHINGTON FIELD
Re: 58A-WF-200802, 05/02/1997

LEAD(s):

Set Lead 1:

AT HOUSTON, TEXAS

Interview [redacted]

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♦♦

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 5/5/97

[redacted] date of birth [redacted] was contacted at his residence, [redacted] home telephone number (281) 932-6243. After being advised of the identities of the interviewing agents and the nature of the interview, [redacted] provided the following information: b3 b6 b7C

[redacted]

Investigation on 5/4/97 at [redacted]

File # 58A-WF-200802 -150 Date dictated 5/5/97

by SA [redacted] SA b6 b7C

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 05/06/1997

To: WMFO **Attn:** SA [redacted]

From: Houston
WC-3
Contact: [redacted] (713) 693-5093

Approved By: [redacted]

Drafted By: [redacted] b6 b7C

Case ID #: 58A-WF-200802 -151

Title: [redacted]

SAMUEL RICHARD BERGER,
Aka "SANDY" BERGER,
ACTING ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFO - COI

Synopsis: FD-302 of [redacted]

Enclosures: Original and one copy of FD-302 from the [redacted] interview, and one 1-A envelope containing the original notes from the [redacted] interview. b3 b6 b7C

Details: [redacted] was interviewed at his home on 5/4/97, regarding his dealings with Sandy Berger. This interview is set forth in the enclosed FD-302.

♦♦

[redacted] b6 b7C

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 01/02/1997

To: WASHINGTON FIELD **Attn:** SAC MEGARY

From: SA
C-20 / NVRA
Contact: SA (202) 324-6172

Approved By

Drafted By:

Case ID #: 58A-WF-200802 (Pending)

Title:

SAMUEL RICHARD BERGER,
Aka "SANDY" BERGER,
Deputy Assistant to the President
for National Security;
CFPO - COI

b6
b7C

* Polygraph must be conducted with PIS, DOT and PCU FBIHQ.

GRAND JURY MATERIAL - DISSEMINATE PURSUANT TO RULE 6(e)

Synopsis: To request SAC authority to conduct polygraph examinations of and, if necessary, on the issues of whether there were conversations CONCERNING DIVESTITURE between and others (such as and possibly between or and

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Details:

SERIALIZED FILED

FBI — WASH. METRO FIELD

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 05/06/1997

To: LABORATORY DIVISION **Attn:** LFPS
CRIMINAL INVESTIGATIVE **Attn:** SSA [redacted] PCU

From: WASHINGTON FIELD
Squad C-20 / NVRA
Contact: SA [redacted] 202 324 6172

Approved By: [redacted]

Drafted By: [redacted] b6 b7C

153

Case ID #: 58A-WF-200802 (Pending)

Title: [redacted]

SAMUEL RICHARD BERGER,
Also Known As
"SANDY" BERGER,
ACTING ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO - COI

GRAND JURY MATERIAL - DISSEMINATE PURSUANT TO RULE 6(e)

Synopsis: To request Latent Fingerprint Examination of [redacted] and comparison of any latent fingerprints to those of SAMUEL RICHARD BERGER. b3

Enclosures: Enclosed for the Latent Fingerprint Section are [redacted] to various members of the BERGER immediate family.

Details: SAMUEL RICHARD BERGER is currently the Acting Assistant to the President for National Security. He heads the National Security Council (NSC). Investigation of BERGER was initiated by the White House Counsel's Office who determined that BERGER may have violated Title 18, USC, Section 208 (Conflict of Interest) in that he failed to divest himself and/or family members of certain stocks after being specifically directed to do so. The investigation has also determined that in addition to the stocks he was directed to divest, BERGER's family members were beneficiaries in a number of other trusts, the existence of which BERGER did not even list on his financial disclosure forms.

153

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Set Lab Exam [redacted] 2-91

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
APR 2 [illegible]
FBI — WASH. METRO FIELD OFFICE
[redacted]

b6 b7C

To: LABORATORY DIVISION From: WASHINGTON FIELD
Re: 58A-WF-200802, 05/06/1997

Public Integrity Section, DOJ, has advised that in order to prosecute BERGER for violation of Title 18, USC, Section 1001 (False Statement), it would be necessary in part to show that BERGER knew of the existence of these trusts. WFO has determined that

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To: LABORATORY DIVISION From: WASHINGTON FIELD
Re: 58A-WF-200802, 05/06/1997

LEAD(s):

Set Lead 1:

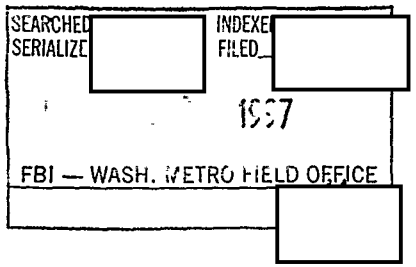
LABORATORY DIVISION

AT LATENT FINGERPRINT SECTION

Will conduct Latent Fingerprint examination of [redacted] enclosed and compare any latent fingerprints developed to those of SAMUEL RICHARD BERGER, White male, DOB 10/28/45, SSAN 122-38-9468 and advise WFO expeditiously of results. It is noted that this mater is receiving close scrutiny and all due expedience in the conduct of this examination will be appreciated. b3

♦♦

58A-WF-200802-154



b6
b7C

7-1 (Rev. 2-21-91)

FBI LABORATORY

FEDERAL BUREAU OF INVESTIGATION
WASHINGTON, D. C. 20535

Date: 5/14/97

To: ADIC, WFO (Squad C-20/NVRA) (P)

FBI File No. 58A-WF-200802

Lab No. 70507042 L EQ
LC #M-2320

Reference: Communication dated 5/6/97

Your No.

Re: [redacted] b6 b7C

SAMUEL RICHARD BERGER,
Also Known As
"SANDY" BERGER,
ACTING ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO - COI

Specimens received: 5/7/97

The FBI Laboratory has received the evidence which you sent for examination. The case has been assigned to Examiner [redacted] who may be contacted at (202) 324-3970 or through his/her supervisor at (202) 324-3970. Please notify the Examiner immediately if any changes occur in the status of this case, such as court deadlines, dismissal of charges, guilty pleas, or other special circumstances. b6 b7C

In order to alert Laboratory Division personnel to the presence of potentially infectious human biological material, the Occupational Safety and Health Administration's Bloodborne Pathogen Standard must be followed. This standard* requires that biohazard warning labels be affixed to any container which may contain human blood or other human biological material. Additionally, please notify the FBI Laboratory immediately should any information be developed which indicates that the suspect(s) or victim(s) are known to be infected with the Human Immunodeficiency Virus (HIV) or the Hepatitis B Virus.

*29 CFR 1910.1030 (g) (1) (i) (A)

FD-448 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted:
Sender's Initials: [redacted]
Number of Pages: 6
(including coversheet)

To: PUBLIC INTEGRITY
Name of Office

Date: 6/11/97

b6
b7C

Facsimile Number: (202) 514-3003

Attn: [redacted]
Name

x
Room

202-307-3586
Telephone

From: Washington Field
Name of Office

Subject: BERGER

Special Handling Instructions:

Originator's Name: SA [redacted]

Telephone: 762-3205

Originator's Facsimile Number: X

b3
b6
b7C

Approved:

Brief Description of Communication Faxed: [redacted] 302

DSA - WF - 200802 - 156

SEARCHED [redacted] INDE
SERIALIZED [redacted] FILE

FBI — WASH. METRO FIELD OF [redacted]

( )

FD-4 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☐ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☐ Unclassified

Time Transmitted: _____
Sender's Initials: _____
Number of Pages: _____
(including coversheet)

To: PUBLIC INTEGRITY Date: 6/15/97
Name of Office

Facsimile Number: 202 514-3003

Attn: [redacted] 514-1456
Name Room Telephone

b6
b7C

From: WFO / NVRA
Name of Office

Subject: BERGER

Special Handling Instructions: _____

Originator's Name: [redacted] Telephone: (703) 762-3205

Originator's Facsimile Number: _____

b3
b6
b7C

Approved: _____

Brief Description of Communication Faxed: Resend of [redacted] 302.

157

SEARCHED [redacted] INDEX [redacted]
SERIALIZED [redacted] FILED [redacted]
584-WF-200802
FBI — WASH. METRO FIELD

********** -JOURNAL- ********** DATE JUN-16-1997 ***** TIME 09:25 **********

DATE/TIME = JUN-16 09:22
JOURNAL NO. = 03
COMM.RESULT = OK
PAGES = 06
DURATION = 00:05'37
MODE = XMT
STATION NAME =
TELEPHONE NO. = T 95143003
RECEIVED ID = 202 514 3003
RESOLUTION = STANDARD

********** 202 324 6363- **********

FD-4[illegible] 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: _____
Sender's Initials: _____
Number of Pages: 2
(including coversheet)

To: PUBLIC CORRUPTION UNIT
Name of Office

Date: 2-2-96

Facsimile Number: 324-2043

Attn: SSA [redacted]
Name Room

324-5701
Telephone

b6
b7C

From: WMFO
Name of Office

Subject: [redacted]
SAMUEL BERGER

Special Handling Instructions: _____

Originator's Name: SA [redacted]

Telephone: 324-6172

Originator's Facsimile Number: 324-6426

Approved [redacted]

b6
b7C

Brief Description of Communication Faxed: Weekly update

58A-WF-200802-158

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]

FBI — WASH. METRO FIELD OFFI[redacted]

58A-WF-200802
WJH:wjh

The following investigation was telephonically conducted at Washington, D.C., by SA [redacted] on 2/1/96: b5 b6 b7C

Trial Attorney SUSAN PARK, Public Integrity Section, DOJ was telephonically contacted regarding the status of this investigation. PARK advised that [redacted]

CO 293 (Rev. 8/91) Subpoena to Testify Before Grand Jury

United States District Court

For the DISTRICT OF Columbia

TO:

SUBPOENA TO TESTIFY BEFORE GRAND JURY

b3

SUBPOENA FOR:

YOU ARE HEREBY COMMANDED to appear and testify before the Grand Jury of the United States District Court at the place, date, and time specified below.

PLACE	COURTROOM
U.S. Courthouse 3rd & Constitution Avenue Washington, D.C.	Grand Jury Room -- 3rd Floor
	DATE AND TIME

YOU ARE ALSO COMMANDED to bring with you the following document(s) or object(s):*

b3

searched serialized indexed filed

58A-WF-200802-159

☐ *Please see additional information on reverse.*

This subpoena shall remain in effect until you are granted leave to depart by the court or by an officer acting on behalf of the court.

U.S. MAGISTRATE OR CLERK OF COURT	DATE
Nancy M. Mayer-Whittington, Clerk	December 16, 1996
(BY) DEPUTY CLERK	

b6
b7C

This subpoena is issued upon application of the United States of America

NAME, ADDRESS AND PHONE NUMBER OF ASSISTANT U.S. ATTORNEY

Public Integrity Section/Criminal Division
U.S. Department of Justice
P.O. Box 27518/Central Station
Washington, D.C. 20038

CO 293 (Rev. 8/91) Subpoena to Testify [redacted] Grand Jury

RETURN OF SERVICE (1)

RECEIVED BY SERVER	DATE	PLACE
SERVED	DATE	PLACE

SERVED ON (PRINT NAME)

SERVED BY (PRINT NAME)	TITLE

STATEMENT OF SERVICE FEES

TRAVEL	SERVICES	TOTAL

DECLARATION OF SERVER(2)

I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Return of Service and Statement of Service Fees is true and correct.

Executed on _____ _____
Date *Signature of Server*

_____
Address of Server

ADDITIONAL INFORMATION

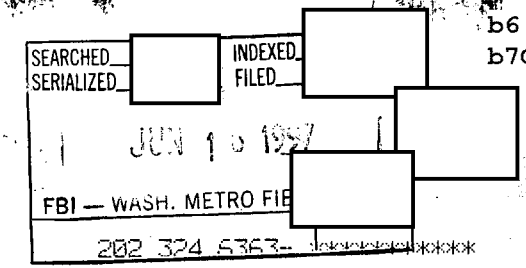
(1) As to who may serve a subpoena and the manner of its service see Rule 17(d), Federal Rules of Criminal Procedure, or Rule 45(c), Federal Rules of Civil Procedure.

(2) "Fees and mileage need not be tendered to the witness upon service of a subpoena issued on behalf of the United States or an officer or agency thereof (Rule 45(c), Federal Rules of Civil Procedure; Rule 17(d), Federal Rules of Criminal Procedure) or on behalf of certain indigent parties and criminal defendants who are unable to pay such costs (28 USC 1825, Rule 17(b) Federal Rules of Criminal Procedure)".

********** -JOURNAL- ********** DATE DEC-16-1996 ***** TIME 18:07 **********

DATE/TIME = DEC-16 18:05
JOURNAL NO. = 23
COMM.RESULT = OK
PAGES = 05
DURATION = 00:01'52
MODE = XMT
STATION NAME =
TELEPHONE NO. = [redacted] b3
RECEIVED ID = [redacted]
RESOLUTION = STANDARD

58A-WF-200802-160



b6
b7C

-XXX

****

FD-448 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: [redacted]
Sender's Initials: [redacted]
Number of Pages: 5
(including coversheet)

b3
b6
b7C

To: [redacted] Date: 12/16/96
Name of Office

Facsimile Number: [redacted]

Attn: [redacted]
Name Room Telephone

From: WASHINGTON FIELD
Name of Office

Subject: SUBPOENA

Special Handling Instructions: Please handcarry to [redacted]

Originator's Name: [redacted] Telephone: 202-324-6172

b3
b6
b7C

Originator's Facsimile Number: 202-324-6426

Approved: _____

Brief Description of Communication Faxed: Subpoena for [redacted]

( )

CO 293 (Rev. 8/91) Subpoena to Testify Before Grand Jury

United States District Court

For the DISTRICT OF Columbia

TO:

SUBPOENA TO TESTIFY BEFORE GRAND JURY

b3

SUBPOENA FOR:

YOU ARE HEREBY COMMANDED to appear and testify before the Grand Jury of the United States District Court at the place, date, and time specified below.

PLACE	COURTROOM
U.S. Courthouse 3rd & Constitution Avenue Washington, D.C.	Grand Jury Room -- 3rd Floor
	DATE AND TIME

YOU ARE ALSO COMMANDED to bring with you the following document(s) or object(s):*

b3

searched / serialized / indexed / filed

58A-WF-200802 — 161

☐ *Please see additional information on reverse.*

This subpoena shall remain in effect until you are granted leave to depart by the court or by an officer acting on behalf of the court.

b6
b7C

U.S. MAGISTRATE OR CLERK OF COURT	DATE
Nancy M. Mayer-Whittington, Clerk	December 16, 1996
(BY) DEPUTY CLERK	

This subpoena is issued upon application of the United States of America.

NAME, ADDRESS AND PHONE NUMBER OF ASSISTANT U.S. ATTORNEY

Public Integrity Section/Criminal Division
U.S. Department of Justice
P.O. Box 27518/Central Station
Washington, D.C. 20038

*If not applicable, enter "none."

CO 293 (Rev. 8/91) Subpoena to Testify Before Grand Jury

RETURN OF SERVICE (1)

RECEIVED BY SERVER	DATE	PLACE
SERVED	DATE	PLACE

SERVED ON (PRINT NAME)

SERVED BY (PRINT NAME)	TITLE

STATEMENT OF SERVICE FEES

TRAVEL	SERVICES	TOTAL

DECLARATION OF SERVER (2)

I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Return of Service and Statement of Service Fees is true and correct.

Executed on _____ _____
Date *Signature of Server*

_____
Address of Server

ADDITIONAL INFORMATION

(1) As to who may serve a subpoena and the manner of its service see Rule 17(d), Federal Rules of Criminal Procedure, or Rule 45(c), Federal Rules of Civil Procedure.

(2) "Fees and mileage need not be tendered to the witness upon service of a subpoena issued on behalf of the United States or an officer or agency thereof (Rule 45(c), Federal Rules of Civil Procedure; Rule 17(d), Federal Rules of Criminal Procedure) or on behalf of certain indigent parties and criminal defendants who are unable to pay such costs (28 USC 1825, Rule 17(b) Federal Rules of Criminal Procedure)".

********** -JOURNAL- ********** DATE DEC-16-1996 ***** TIME 18:03 **********

DATE/TIME = DEC-16 18:00
JOURNAL NO. = 22
COMM.RESULT = OK
PAGES = 05
DURATION = 00:02'16
MODE = XMT
STATION NAME =
TELEPHONE NO. = [redacted] b3
RECEIVED ID = [redacted]
RESOLUTION = STANDARD

58A-WF-200802-1162

SEARCHED [redacted] INDEXED [redacted] b6 b7C
SERIALIZED [redacted] FILED [redacted]
JUN 16 1997
FBI — WASH. METRO FIELD [redacted]
202 324 [redacted]

-XXX

****

FD-448 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: [redacted]
Sender's Initials: [redacted]
Number of Pages: 5
(including coversheet)

To: [redacted]
Name of Office

Date: 12/16/96

b3
b6
b7C

Facsimile Number: [redacted]

Attn: [redacted]
Name Room Telephone

From: WASHINGTON FIELD
Name of Office

Subject: Subpoena

Special Handling Instructions: Handcarry to [redacted]

[redacted]

Originator's Name: [redacted] Telephone: 202-324-6172

b3
b6
b7C

Originator's Facsimile Number: 202-324-6426

Approved: _____

Brief Description of Communication Faxed: Subpoena for [redacted]

CO 293 (Rev. 8/91) Subpoena to Testify Before Grand Jury

United States District Court

For the DISTRICT OF Columbia

TO:

b3

SUBPOENA TO TESTIFY BEFORE GRAND JURY

SUBPOENA FOR:

YOU ARE HEREBY COMMANDED to appear and testify before the Grand Jury of the United States District Court at the place, date, and time specified below.

PLACE	COURTROOM
U.S. Courthouse 3rd & Constitution Avenue Washington, D.C.	Grand Jury Room -- 3rd Floor
	DATE AND TIME

YOU ARE ALSO COMMANDED to bring with you the following document(s) or object(s):*

b3

searched ☐ indexed ☐
serialized ☐ filed ☐

58A-WF-200802 — 163

☐ *Please see additional information on reverse.*

This subpoena shall remain in effect until you are granted leave to depart by the court or by an officer acting on behalf of the court.

U.S. MAGISTRATE OR CLERK OF COURT	DATE
Nancy M. Mayer-Whittington, Clerk	December 16, 1996
(BY) DEPUTY CLERK	

b6
b7C

This subpoena is issued upon application of the United States of America.

NAME, ADDRESS AND PHONE NUMBER OF ASSISTANT U.S. ATTORNEY

Public Integrity Section/Criminal Division
U.S. Department of Justice
P.O. Box 27518/Central Station
Washington, D.C. 20038

CO 293 (Rev. 8/91) Subpoena to Testify Before Grand Jury

RETURN OF SERVICE (1)

RECEIVED BY SERVER	DATE	PLACE
SERVED	DATE	PLACE

SERVED ON (PRINT NAME)

SERVED BY (PRINT NAME)	TITLE

STATEMENT OF SERVICE FEES

TRAVEL	SERVICES	TOTAL

DECLARATION OF SERVER(2)

I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Return of Service and Statement of Service Fees is true and correct.

Executed on _____ _____
Date *Signature of Server*

_____
Address of Server

ADDITIONAL INFORMATION

(1) As to who may serve a subpoena and the manner of its service see Rule 17(d), Federal Rules of Criminal Procedure, or Rule 45(c), Federal Rules of Civil Procedure.

(2) "Fees and mileage need not be tendered to the witness upon service of a subpoena issued on behalf of the United States or an officer or agency thereof (Rule 45(c), Federal Rules of Civil Procedure; Rule 17(d), Federal Rules of Criminal Procedure) or on behalf of certain indigent parties and criminal defendants who are unable to pay such costs (28 USC 1825, Rule 17(b) Federal Rules of Criminal Procedure)".

********** -JOURNAL- ********** DATE DEC-16-1996 ***** TIME 16:59 **********

DATE/TIME = DEC-16 16:58
JOURNAL NO. = 20
COMM.RESULT = OK
PAGES = 05
DURATION = 00:01'53
MODE = XMT
STATION NAME =
TELEPHONE NO. = [redacted] b3
RECEIVED ID = [redacted]
RESOLUTION = STANDARD

-XXX

58A-WF-200802-164

SEARCHED [redacted] INDEX [redacted] b6
SERIALIZED [redacted] FILED [redacted] b7C
JUN 16 1997
FBI — WASH. METRO FIELD [redacted]

********** - 202 324 6363- **********

FD-448 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: [redacted]
Sender's Initials: [redacted]
Number of Pages: 5
(including coversheet)

b3
b6
b7C

To: [redacted] Date: 12/16/96
Name of Office

Facsimile Number: [redacted]

Attn: [redacted]
Name Room Telephone

From: WASHINGTON FIELD
Name of Office

Subject: Re SUBPOENA

Special Handling Instructions: Please hand carry to [redacted]

Originator's Name: SA [redacted] Telephone: 202-324-6172

b3
b6
b7C

Originator's Facsimile Number: 202-324-6426

Approved: _____

Brief Description of Communication Faxed: Subpoena for [redacted]

( )

GO 293 (Rev. 8-91) Subpoena to Testify Before Grand Jury

United States District Court

For the DISTRICT OF Columbia

TO:

SUBPOENA TO TESTIFY BEFORE GRAND JURY

b3

SUBPOENA FOR:

YOU ARE HEREBY COMMANDED to appear and testify before the Grand Jury of the United States District Court at the place, date, and time specified below.

PLACE	COURTROOM
U.S. Courthouse 3rd & Constitution Avenue Washington, D.C.	Grand Jury Room -- 3rd Floor
	DATE AND TIME

YOU ARE ALSO COMMANDED to bring with you the following document(s) or object(s):*

b3

searched ☐ indexed ☐
serialized ☐ filed ☐

58A-WF-200802—165

☐ *Please see additional information on reverse.*

This subpoena shall remain in effect until you are granted leave to depart by the court or by an officer acting on behalf of the court.

b6
b7C

U.S. MAGISTRATE OR CLERK OF COURT	DATE
Nancy M. Mayer-Whittington, Clerk	December 16, 1996
(BY) DEPUTY CLERK	

This subpoena is issued upon application of the United States of America.

NAME, ADDRESS AND PHONE NUMBER OF ASSISTANT U.S. ATTORNEY

Public Integrity Section/Criminal Division
U.S. Department of Justice
P.O. Box 27518/Central Station
Washington, D.C. 20038

CO 293 (Rev. 8/91) Subpoena to Testify Before Grand Jury

RETURN OF SERVICE (1)

	DATE	PLACE
RECEIVED BY SERVER		
SERVED		

SERVED ON (PRINT NAME)

SERVED BY (PRINT NAME) | TITLE

STATEMENT OF SERVICE FEES

TRAVEL	SERVICES	TOTAL

DECLARATION OF SERVER(2)

I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Return of Service and Statement of Service Fees is true and correct.

Executed on _____ _____
Date *Signature of Server*

_____
Address of Server

ADDITIONAL INFORMATION

(1) As to who may serve a subpoena and the manner of its service see Rule 17(d), Federal Rules of Criminal Procedure, or Rule 45(c), Federal Rules of Civil Procedure.

(2) "Fees and mileage need not be tendered to the witness upon service of a subpoena issued on behalf of the United States or an officer or agency thereof (Rule 45(c), Federal Rules of Civil Procedure; Rule 17(d), Federal Rules of Criminal Procedure) or on behalf of certain indigent parties and criminal defendants who are unable to pay such costs (28 USC 1825, Rule 17(b) Federal Rules of Criminal Procedure)".

FD-448 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: _____
Sender's Initials: wjh
Number of Pages: 5
(including coversheet)

To: _____ Date: 12/18/96
Name of Office

Facsimile Number: _____

Attn: _____
Name Room Telephone

From: WASHINGTON FIELD
Name of Office

Subject: SUBPOENA

Special Handling Instructions: Please hand carry to _____

Originator's Name: _____ Telephone: 202-324-6172

Originator's Facsimile Number: 202-324-6426

Approved: _____

Brief Description of Communication Faxed: Subpoena for _____

b3
b6
b7C

b3
b6
b7C

58A-WF-200802-166

SEARCHED _____ INDEXED _____
SERIALIZED _____ FILED _____

FBI — WASH. METRO FIELD

b6
b7C

Facsimile Cover Sheet

To: [redacted]
Fax: (202) 324-6426
Phone: (202) 324-6172 b3 b6 b7C

From: [redacted]
Company:
Phone:
Fax:

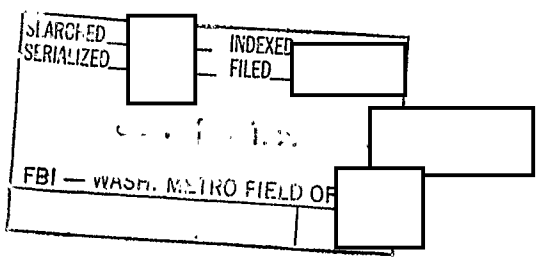
Date: 12/23/96
Pages including this cover page: 3

Comments:

This is my second attempt to reach you via your fax number listed above. The first fax was sent to [redacted] but was received by [redacted] in the FBI Laboratory at extention 4642. b3 b6 b7C

[redacted]

58A-WF-200802-167



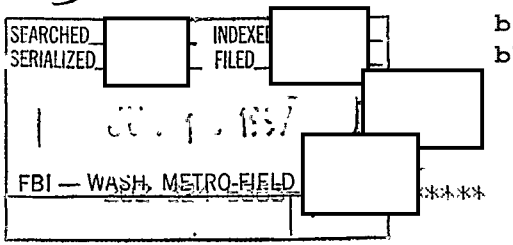
b6 b7C

********** -JOURNAL- ********** DATE JAN-17-1997 ***** TIME 10:46 **********

DATE/TIME = JAN-17 10:44
JOURNAL NO. = 18
COMM.RESULT = 01
PAGES = 01
DURATION = 00:01'57
MODE = S.T
STATION NAME =
TELEPHONE NO. =
RECEIVED ID =
RESOLUTION = STANDARD

b3

58A-200802-168

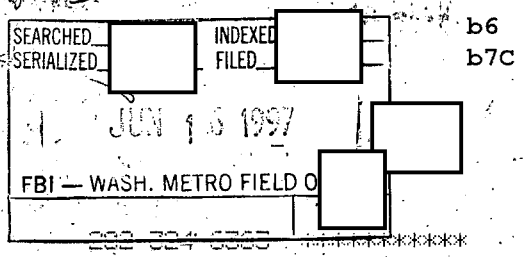


b6
b7C

********** -JOURNAL- ********** DATE JAN-16-1997 ***** TIME 18:19 **********

DATE/TIME = JAN-16 18:18
JOURNAL NO. = 10
COMM.RESULT = OK
PAGES = 02
DURATION = 00:01'06
MODE = XMT
STATION NAME =
TELEPHONE NO. = T 93242043
RECEIVED ID = 202 324 2043
RESOLUTION = STANDARD

58A-WF-200802 — 169



b6
b7C

-XXX

****

FD-448 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: _____
Sender's Initials: wjh
Number of Pages: 2
(including coversheet)

To: CID - PCU
Name of Office

Date: 1/16/97

Facsimile Number: 202-324-2043

Attn: SSA [redacted]
Name

X
Room

324-8566
Telephone

From: WFO / NVRA
Name of Office

b6
b7C

Subject: [redacted] BERGER

Special Handling Instructions: Please forward to Director's Office per his request, 1/15/97.

Originator's Name: SA [redacted]

Telephone: 324-6172

Originator's Facsimile Number: 202-324-6426

Approved: _____

Brief Description of Communication Faxed: [redacted]

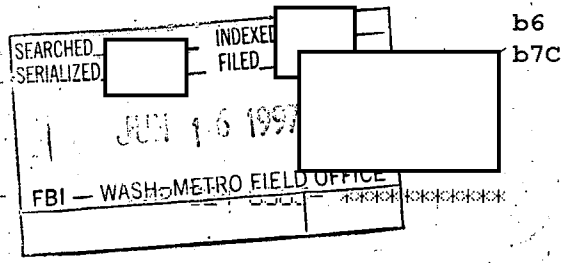
b6
b7C

[redacted]

********** -JOURNAL- ********** DATE MAR-05-1997 ***** TIME 16:55 **********

DATE/TIME = MAR-05 16:54
JOURNAL NO. = 02
COMM.RESULT = OK
PAGES = 02
DURATION = 00:01'00
MODE = XMT
STATION NAME =
TELEPHONE NO. = T 95143003
RECEIVED ID = 202 514 3003
RESOLUTION = STANDARD

SA 200 562 - 170



b6
b7C

-XXX

****

FD-448 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: _____
Sender's Initials: [redacted] b6 b7C
Number of Pages: 2
(including coversheet)

To: PUBLIC INTEGRITY
Name of Office

Date: 3/5/97

Facsimile Number: 202-514-3003

Attn: BEA WITZLEBEN X 202-307-3586
Name Room Telephone

From: WASHINGTON FIELD / NVRA
Name of Office

Subject: BERGER

Special Handling Instructions: _____

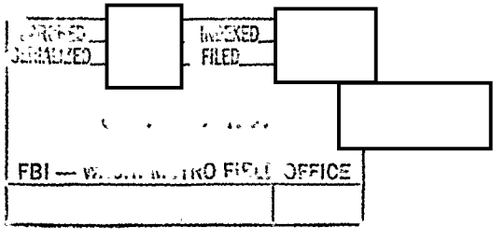
Originator's Name: SA [redacted] Telephone: 202-324-6172 b6 b7C

Originator's Facsimile Number: 202-324-6426

Approved: _____

Brief Description of Communication Faxed: X

58A-WF-200802—171

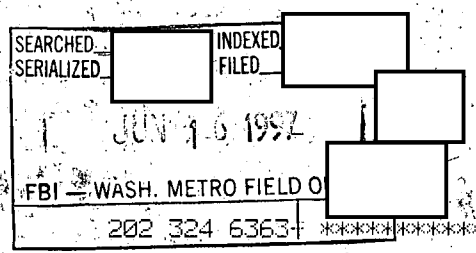


b6
b7C

********** -JOURNAL- ********** DATE JAN-31-1997 ***** TIME 16:18 **********

DATE/TIME = JAN-31 16:17
JOURNAL NO. = 06
COMM.RESULT = OK
PAGES = 03
DURATION = 00:01'08
MODE = XMT
STATION NAME =
TELEPHONE NO. = T 93242043
RECEIVED ID = 202 324 2043
RESOLUTION = STANDARD

58A-200802-172



b6
b7C

-XXX

****

FD-448 (Rev. 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: [redacted]
Sender's Initials: [redacted]
Number of Pages: 3
(including coversheet)

b6
b7C

To: CRIMINAL INVESTIGATIVE
Name of Office

Date: 1/31/97

Facsimile Number: 202-324-2043

Attn: SSA [redacted] X 202-324-8566
Name Room Telephone

From: WASHINGTON FIELD
Name of Office

b6
b7C

Subject: [redacted] BERGER

Special Handling Instructions:

Originator's Name: SA [redacted] Telephone: 202-324-6172

Originator's Facsimile Number: 202-324-6426

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b7C

Approved:

Brief Description of Communication Faxed: EC advising of [redacted]

[redacted]

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 01/31/1997

To: CRIMINAL INVESTIGATIVE
WASHINGTON FIELD

Attn: SSA [redacted] PCU
Attn: ADIC [redacted]
SAC MEGARY
ASAC [redacted]

From: SA [redacted]
Squad C-20 / NVRA/WFO
Contact: SA [redacted] (202) 324-6172

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b7C

Approved By [redacted]

Drafted By: [redacted]

Case ID #: 58A-WF-200802 (Pending)

Title: [redacted]
SAMUEL RICHARD BERGER,
Aka "SANDY" BERGER,
DEPUTY SPECIAL ASSISTANT TO THE
PRESIDENT FOR NATIONAL SECURITY
CFO - COI

GRAND JURY MATERIAL - DISSEMINATE PURSUANT TO RULE 6(e)

Synopsis: To advise of briefing of AG on this matter by PIS on Saturday, 2/1/97, and of subsequent [redacted]

Details: On 1/30/97, PIS Trial Attorney BEA WITZLEBEN advised WFO SA that [redacted]

[redacted]

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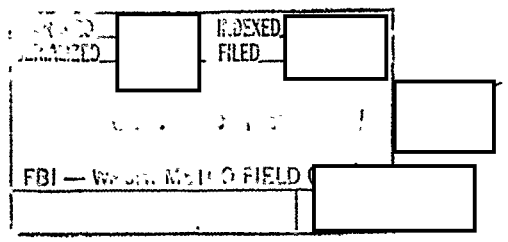
1 - BUREAU
1 - ADIC [redacted]
1 - SAC MEGARY
1 - ASAC [redacted]
1 - SSA [redacted]

( )

58A-WF-200802-173



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TO ~~FROM~~ [redacted]

FAX 252-7351

b6
b7C

From [redacted]

324-6172

[redacted]

2/8/97 PAGE A1

58A-WF-200802 - 1174

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]

FBI — WASH. METRO FIELD O [redacted]

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********** -JOURNAL- ********** DATE FEB-10-1997 ***** TIME 14:16 **********

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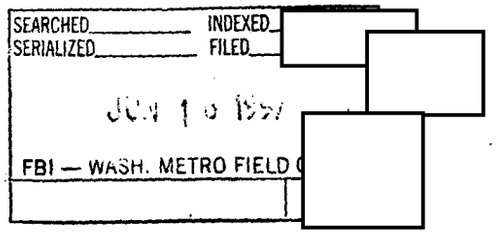
********** - 202 324 6363- **********

58A-WF-200802—175



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FD-4 (3) 2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- [X] Immediate
- [ ] Priority
- [ ] Routine

CLASSIFICATION

- [ ] Top Secret
- [ ] Secret
- [ ] Confidential
- [ ] Sensitive
- [ ] Unclassified

Time Transmitted: _____
Sender's Initials: _____
Number of Pages: 5
(including coversheet)

To: HOUSTON
Name of Office

Date: 5/4/97

Facsimile Number: 713 693 3987

Attn: SSA [redacted]
Name Room Telephone

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b7C

From: WASHINGTON FIELD
Name of Office

Subject: SAMUEL BERGER

Special Handling Instructions: _____

Originator's Name: SA [redacted] Telephone: 202 324-6172

b6
b7C

Originator's Facsimile Number: 202 324-6486

Approved: [redacted]

Brief Description of Communication Faxed: Alternate contact MONDAY is SSA [redacted] 202 324-6159

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 08/01/1997

To: FBIHQ **Attn:** PUBLIC CORRUPTION UNIT
SAC JAMES CARTER
ASAC [redacted]

From: WFO
SQUAD C-20/NVRA
Contact: SA [redacted] (703) 762-3209

Approved By [redacted]

Drafted By: [redacted]

b6
b7C

Case ID #: 58A-WF-200802 (Pending)

Title: [redacted]
Samuel Richard Berger,
aka "Sandy" Berger,
Deputy Assistant to the President
for National Security Affairs;
CFO-COI
OO:WFO

Synopsis: The following is a summary of the recent developments in the above captioned case and a meeting held on 07/31/97, between WFO and DOJ, PIS Attorney Bea Witzleben.

Details: The investigation concerning Berger boils down to two possible violations: 1. Title 18 Section 208 (Conflict of Interest), 2. Title 18 Section 1001 (False Statements). All known investigative steps have been completed.

The essence of the 208 allegations are that Berger was notified on 01/24/94 that he should divest his oil and gas holdings. He questioned whether there were any alternatives and was told on 03/16/94 there are no alternatives you must divest. Berger did not divest until June 1995. Berger did substantial work on a Particular Matter which had a known and predictable effect on his financial interest in February 1995.

(1) File 58A-WF-200802
1-Supervisor C-20

58A-WF-200802—176

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
FBI — WASH. METRO FIELD OFFICE [redacted]

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#13632

It is the position of PIS that a prima facie case can be made against Berger because he was notified of the potential for conflict and the necessity to divest. He did not divest and he worked on a related Particular Matter. However, in order to successfully prosecute Berger for this violation, it would have to be proven beyond a reasonable doubt that Berger participated in a Particular Matter "knowing" it could affect his financial interest. The "knowing" that is required to prove a Felony is "willfulness", and for a Misdemeanor it is something less than "willfulness" but more than "should have known".

Berger claims he intended to divest but the press of business caused him to forget and as soon as he was reminded in June 1995, he divested. In the interim, when he participated in the Particular Matter, he had no knowledge of his related financial interest.

Although we can prove that Berger was told to divest and failed to do so, this is not a crime. We would have to prove that he was involved in the Particular Matter "knowing" it could affect his financial interest. Due to the incredibly poor memories of the attorneys working in the White House Counsel's Office and the National Security Counsel's Office, not one witness could be found to support the contention that Berger knew he had the financial interest when he participated in the Particular Matter.

The 1001 allegations are that Berger failed to list on his SF-278 (Financial Disclosure Form) several trusts which were set up by [redacted] These trusts should have been listed because they paid approximately [redacted] in annual income to [redacted] b6 b7C

Both [redacted] and Sandy Berger claim that Sandy had no contact with these trusts and had no knowledge of the holdings contained therein. Berger states he did not intentionally withhold this information. He gave the SF-278 forms to his financial advisor (now deceased) to be completed and assumed she included all required information. Berger claims he did not carefully read the forms after they were filled out, he simply flipped through them, signed and submitted them.

The position of PIS is that DOJ will not prosecute a 1001 violation absent a showing of venality or related underlying criminal activity that the omission was used to cover. No evidence of such conduct by Berger has been found.

It is the position of WFO that we [redacted]

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WFO will continue to advise FBIHQ of all pertinent developments.

♦♦

DATE/TIME = OCT-09 13:58
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COMM.RESULT = OK
PAGES = 13
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MODE = XMT
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RESOLUTION = STANDARD

58A-WF-200802-177

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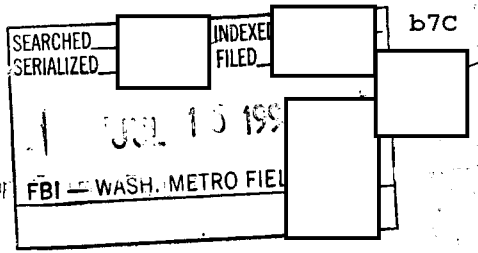

FBI Nat Comm

FD-4 3 (2-16-95)

FBI FACSIMILE

COVERSHEET

PRECEDENCE

- ☐ Immediate
- ☒ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☒ Unclassified

Time Transmitted: _____

Sender's Initials: _____

Number of Pages: 14
(including coversheet)

To: PUBLIC INTEGRITY
Name of Office

Date: 10/9/96

Facsimile Number: 514-3003

Attn: BEA WITZLEBEN
Name Room Telephone

From: WMFO/NVMRA
Name of Office

Subject: [redacted] FD-302

b6
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Special Handling Instructions: _____

Originator's Name: _____ Telephone: _____

Originator's Facsimile Number: _____

Approved: [redacted]

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Brief Description of Communication Faxed: HERE IS FAX OF [redacted] FD-302 ORIGINALLY SENT TO YOUR OFFICE BY [redacted] 7/10/96

FD-302 (Rev. 3-10-82)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 7/3/96

[redacted] white female Date of Birth (DOB) [redacted] Social Security Account Number (SSAN) [redacted] home address [redacted] was advised of the official identities of the interviewing Agents and of the nature of inquiry. The interview was conducted in a conference room of the Department of Justice (DOJ), Public Integrity Section (PIS), 1400 New York Avenue, Northwest, Washington, D.C. Also present throughout the interview were PIS Trial Attorneys SUSAN J. PARK and BEA WITZLEBEN. Also in attendance was [redacted] from the National Security Council (NSC) Legal Advisor's Office (on detail from U.S. Marine Corps). b6 b7C

[redacted] b5 b6 b7C

Investigation on 5/31/96 at Washington, D.C.

File # 58A-WF-200802

SA [redacted] and b6

by SA [redacted] Date dictated 6/3/96 b7C

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

********** -JOURNAL- ********** DATE FEB-26-1997 ***** TIME 17:35 **********

DATE/TIME = FEB-26 17:34
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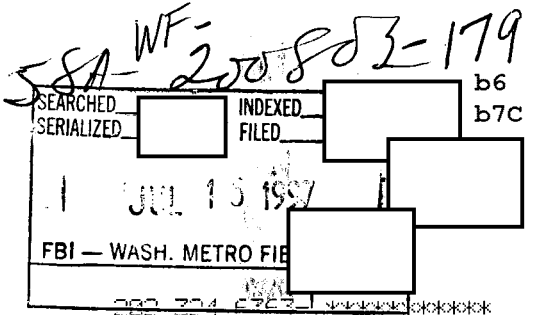

58A-WF-200853-179

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********** -JOURNAL- ********** DATE FEB-26-1997 ***** TIME 17:33 **********

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b3

-XXX -

********** - **********

PUBLIC INTEGRITY
514-3003

SA [redacted]

b6
b7C

AMENDED VALUATION STATEMENT

~~RUC~~ PCU

ATTN SSA [redacted]

324-2043

b6
b7C

FROM SA [redacted], WFO

AMENDED VALUATION STATEMENT

7-1 (Rev. 2-21-91)

FBI LABORATORY

FEDERAL BUREAU OF INVESTIGATION
WASHINGTON, D. C. 20535

To: ADIC, WFO (Squad C-20)/NVRA) (P)

Date: August 1, 1997

FBI File No. 58A-WF-200802

Lab No. 70507042 L EQ
LC #M-2320

Reference: Communication dated May 6, 1997

Your No.

Re: [redacted] b6 b7C

SAMUEL RICHARD BERGER,
Also Known As
"SANDY" BERGER,
ACTING ASSISTANT TO THE PRESIDENT
FOR NATIONAL SECURITY;
CFPO - COI

Specimens received: May 7, 1997

Specimens:

Q1-Q103 [redacted] b3

This report confirms and supplements information furnished telephonically on July 14, 1997.

The result of the latent fingerprint examination is included in this report.

The specimens are being returned under separate cover.

58A-WF-200802-180

[redacted] b6 b7C

[redacted]

7-1a (7-16-96)

FBI LABORATORY

FEDERAL BUREAU OF INVESTIGATION
WASHINGTON, D. C. 20535

Report of Examination

Examiner Name:	[redacted]	Date:	August 1, 1997
Unit:	Latent Fingerprint Section	Phone No.:	(202) 324-3970
FBI File No.:	58A-WF-200802	Lab No.:	70507042 L EQ LC #M-2320

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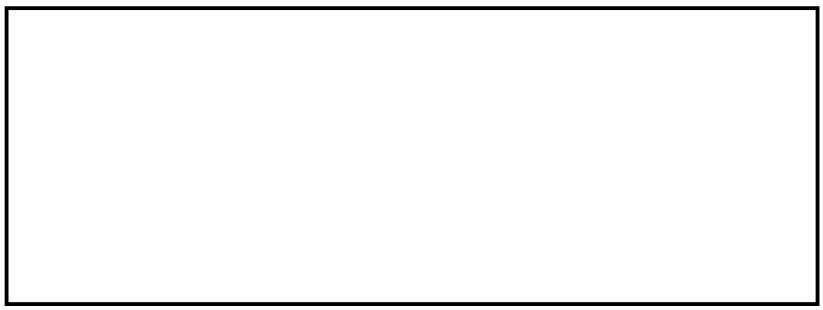
Results of Examinations:

Sixty-five latent fingerprints and five latent palm prints of value were developed on [redacted] as follows: b3

[redacted]

This Report Is Furnished ~~For Official Use Only~~



b3

No latent prints of value were developed on the remaining specimens.

The latent fingerprints are not the fingerprints of SAMUEL R. BERGER, FBI #756759RA5 or the elimination fingerprints of BEA LOUISE WITZLEBEN, born [redacted] b6 b7C

(03/31/95)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 11/12/1997

To: Criminal Investigative WFO **Attn:** Public Corruption Unit
SAC JAMES CARTER
ASAC [redacted]

From: SA [redacted]
C-20 NVRA
Contact: (703)762-3209

Approved By: [redacted]

Drafted By: [redacted]

b6
b7C

File Number(s): 58A-WF-200802 (Pending)

Title: [redacted]
Samuel Richard Berger,
aka "Sandy" Berger,
Deputy Assistant to the President for National Security;
CFO-COI

Synopsis: The following is a summary of recent developments in the above captioned case..

Details: CURRENT STATUS:

On Monday 11/10/97, DOJ, Public Integrity Section, filed a Civil Complaint, case #: 1:97CV02679, in the United States District Court for the District of Columbia against SAMUEL R. BERGER, National security Advisor, alleging a violation of 18 U. S. C. Section 208. BERGER filed an Answer to the Complaint and both parties entered into a Settlement Agreement in which BERGER agrees to make a lump sum payment of $23,043.00, both parties agreed to a factual stipulation and DOJ agreed to a Dismissal of the Complaint.

(encl. 5)
cc:1-FBIHQ
1-SAC CARTER
1-ASAC [redacted]
1-SSA [redacted]
1-FILE

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58A-WF-200802-182

SEARCHED [redacted] INDEXED [redacted]
SERIALIZED [redacted] FILED [redacted]
FBI — WASH. METRO FIELD OFFICE

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b7C

BERGER'S payment of $23,043.00 represents the amount his AMOCO stock appreciated during the time he continued to hold the stock after he was ordered to divest ($19,338.00) plus the dividends paid on the stock during the same period of time ($3,705.00). The factual stipulation states the following: Both parties agree BERGER was ordered to divest his AMOCO stock on or about March 16, 1994. BERGER took no steps to carry out this divestiture, although he intended to do so, with the press of business he completely forgot. There is no evidence that BERGER ever took any action to conceal or misrepresent his continued ownership of AMOCO stock.

In light of the above delineated developments it is recommended that the above captioned case be closed.

IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF COLUMBIA

UNITED STATES OF AMERICA, Plaintiff v. SAMUEL R. BERGER, Defendant	**CASE NUMBER 1:97CV02679** **JUDGE: June L. Green** **DECK TYPE: Civil General** **DATE STAMP: 11/10/97**

COMPLAINT

Plaintiff, the United States of America, by and through its undersigned attorneys, for its complaint alleges that:

1. This is an action for civil penalties pursuant to Section 216(b) of Title 18, United States Code, against SAMUEL R. BERGER for a violation of 18 U.S.C. § 208.

JURISDICTION AND VENUE

2. This Court has jurisdiction over this matter pursuant to 18 U.S.C. § 216 and 28 U.S.C. §§ 1331 and 1345.

3. Venue in the District of Columbia is appropriate under 28 U.S.C. §§ 1391 and 1395(a).

PARTIES

4. The plaintiff in this action is the United States of America. At all times pertinent to this civil action, the National Security Council (NSC) was an agency and instrumentality of the United States of America.

5. The defendant in this action, SAMUEL R. BERGER, has been employed with the White House since January 20, 1993. At all

times pertinent hereto, SAMUEL R. BERGER held the position of Deputy Assistant to the President for National Security Affairs; on December 30, 1996, he assumed the position of Acting Assistant to the President for National Security Affairs; on March 14, 1997, he assumed the position of Assistant to the President for National Security Affairs.

GENERAL ALLEGATIONS

6. On or about January 24, 1994, SAMUEL R. BERGER received a memorandum from the NSC Legal Adviser's Office regarding potential conflicts of interest under 18 U.S.C. § 208. The memorandum advised SAMUEL R. BERGER that the White House Counsel's Office had determined that he should divest his family's petroleum and other energy producing financial interests. In particular, the memoranda advised SAMUEL R. BERGER that the divestiture of his family's holdings in Amoco Corporation was necessary to avoid any actual or apparent conflict of interest in the performance of his official duties. In early February of 1994, SAMUEL R. BERGER sent a handwritten note to the Legal Adviser's Office asking questions about the advice contained in the memorandum. On or about March 16, 1994, SAMUEL R. BERGER received a memorandum responding to his questions and informing him that the White House Counsel's Office had determined that the proposed divestiture was necessary.

7. During the period from January 24, 1994, until June 19, 1995, the Amoco stock in question was held in trusts managed by trustees and other financial advisors for the benefit of Mr.

Berger's wife and minor children.

8. During the period from January 24, 1994, until June 19, 1995, SAMUEL R. BERGER signed his own financial disclosure forms, which were prepared by financial advisors.

9. On or about June 15, 1995, the Legal Adviser to the NSC spoke with SAMUEL R. BERGER concerning his family's continued ownership of the Amoco stock, and SAMUEL R. BERGER immediately initiated a sale of the stock. The sale was executed in part on Friday, June 16, 1995, with the remaining shares sold on Monday, June 19, 1995.

10. From March 16, 1994 to June 19, 1995, the value of the Amoco stock beneficially owned by Mr. Berger's wife and children increased by approximately $19,338, excluding dividends. The dividends paid during this period on the Berger family Amoco stock totaled $3,705.

11. During the period from January 24, 1994, until June 19, 1995, there were particular matters that came before SAMUEL R. BERGER in his official capacity as Deputy Assistant to the President for National Security Affairs that had a direct and predictable effect on Amoco Corporation. On occasion, SAMUEL R. BERGER personally and substantially participated in such matters.

COUNT ONE

12. Plaintiff realleges and incorporates by reference paragraphs 1 through 11 as though fully set forth herein.

13. SAMUEL R. BERGER, having been an officer and employee of the executive branch of the United States, knowingly

participated personally and substantially as a government officer or employee in a particular matter in which he had a financial interest, in violation of 18 U.S.C. § 208.

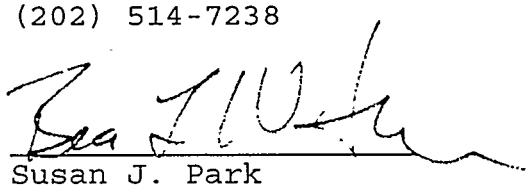
PRAYER FOR RELIEF

WHEREFORE, plaintiff, the United States of America, prays that judgment be entered in its favor against SAMUEL R. BERGER and requests civil penalties be awarded to plaintiff pursuant to 18 U.S.C. § 216(b).

Respectfully Submitted,

FOR THE UNITED STATES

Barbara Van Gelder
(D.C. Bar No. 265603)
Assistant United States Attorney
United States Attorney's Office
555 4th Street, N.W.
Washington, D.C. 20001
(202) 514-7238



Susan J. Park
(D.C. Bar No. 384818)
Bea L. Witzleben
Trial Attorneys
Public Integrity Section
Criminal Division
United States Department of Justice
P.O. Box 27518 McPherson Station
Washington, D.C. 20038
(202) 514-1412

IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF COLUMBIA

UNITED STATES OF AMERICA,	CASE NUMBER 1:97CV02679
Plaintiff,	JUDGE: June L. Green
v.	DECK TYPE: Civil General
SAMUEL R. BERGER,	DATE STAMP: 11/10/97
Defendant.	

ANSWER TO COMPLAINT

Samuel R. Berger, through undersigned counsel, submits this Answer to the government's Complaint in the above-captioned case.

FIRST DEFENSE

Mr. Berger answers the individual paragraphs of the Complaint as follows:

1. This paragraph alleges a description of the Complaint as to which no answer is required.

2. This paragraph alleges a conclusion of law as to which no answer is required.

3. This paragraph alleges a conclusion of law as to which no answer is required.

4. The first sentence identifies the plaintiff in the Complaint and requires no answer. The second sentence sets forth a conclusion of law as to which no answer is required.

5. Admitted.

6. Admitted

7. Mr. Berger admits that his and his family's investments consist of a large number of different stocks, bonds, and other investments which were managed on a discretionary basis by his financial advisors. The Amoco stock in particular was held in trusts for the benefit of Mr. Berger's wife and children, which trusts were managed by financial advisors.

8. Mr. Berger admits that he signed his financial disclosure forms, which had been prepared by his financial advisors because they managed his investments and were aware of the contents of his portfolio, which he was not. Those disclosure forms accurately reported the Berger family members' beneficial ownership of the Amoco stock.

9. Mr. Berger admits that he was notified on or about June 15, 1995 that a review of the latest financial disclosure form he had filed indicated that he had failed to sell the Amoco stock. He further states that this was the first

reminder he had received since March 1994 of his need to divest the Amoco stock, and that since March 1994 he had completely forgotten about the divestiture issue and also about his family's ownership of Amoco stock. Indeed, shortly after receipt of the March 16, 1994 memorandum referred to in paragraph 6 of the Complaint, Mr. Berger briefly discussed the matter with the Legal Adviser to the NSC, whereupon Mr. Berger indicated that he would promptly divest the stocks in question. Mr. Berger fully intended to do so, but as a result of the press of other matters he was handling at the time he neglected to follow up promptly and, over time, totally forgot about the issue or his family's ownership of the stock in question. Investments and other financial matters on the part of Mr. Berger and his family are independently managed on a discretionary basis by financial advisors, and Mr. Berger was not familiar with the investments in his family's portfolio. Following the March 1994 discussion Mr. Berger not only forgot about the need for divestiture but also forgot that Amoco was one of the stocks in his family's investment portfolio. Mr. Berger admits that upon being reminded on or about June 15, 1995 about his family's beneficial ownership of Amoco stock, he immediately initiated the sale of the stock in question. That sale was executed in part on Friday, June 16 and the remaining part on Monday, June 19, which was as quickly as could be arranged by the broker.

10. Admitted

11. Mr. Berger admits that certain issues came to his attention between March 16, 1994 and June 19, 1995 that might have had an effect on Amoco Corporation, and that Mr. Berger participated personally and substantially in such issues. Mr. Berger, however, took no action during his government service that was influenced in any way by his or his family's financial interest. Indeed, at no time during his consideration of such issues did Mr. Berger ever recall that members of his family had a beneficial financial interest in Amoco stock. Thus, Mr. Berger never participated personally and substantially as a government officer or employee in a matter in which, "to his knowledge," he had a financial interest. Mr. Berger affirmatively states that during his time in government service he has never taken any action designed to conceal or misrepresent his or his wife's or his children's financial holdings, nor has he ever taken any action in his official capacity designed to benefit himself financially or otherwise.

COUNT I

12. Mr. Berger realleges and reincorporates by reference paragraphs 1 to 11, as if fully set forth herein.

13. Mr. Berger admits having been an officer and employee of the Executive Branch of the United States, but denies that he knowingly participated personally and substantially as a government officer and employee in a particular matter in which, to his knowledge, he had a financial interest, in violation of 18 U.S.C. § 208.

SECOND DEFENSE

The Complaint fails to state a claim upon which relief can be granted. At no time during his government service has Mr. Berger ever participated personally and substantially in a particular matter in which, to his knowledge, he or his family members had a financial interest. Because Mr. Berger was not familiar with the contents of the investment portfolio managed by others, he forgot that his family members owned a beneficial interest in Amoco stock, and thus he never acted in a matter in which "to his knowledge" he had a conflict as defined in 18 U.S.C. § 208. Moreover, at no time during his government service has Mr. Berger ever consciously taken an act or consciously failed to act in order to benefit his or his family's financial interest.

PRAYER FOR RELIEF

Wherefore, Mr. Berger respectfully requests that judgment be entered in his favor against the United States.

Respectfully submitted,

Allen R. Snyder
(D.C. Bar No. 162818)
Douglas A. Fellman
(D.C. Bar No. 412746)
Hogan & Hartson, L.L.P.
555 Thirteenth Street, NW
Washington, DC 20004
(202) 637-5741

Counsel for Samuel R. Berger

November 10, 1997

IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF COLUMBIA

UNITED STATES OF AMERICA, Plaintiff v. SAMUEL R. BERGER Defendant	**CASE NUMBER** 1:97CV02679 **JUDGE:** June L. Green **DECK TYPE:** Civil General **DATE STAMP:** 11/10/97

STIPULATION OF DISMISSAL OF COMPLAINT

Pursuant to Federal Rule of Civil Procedure 41(a)(1)(ii), plaintiff, the United States of America, and defendant, SAMUEL R. BERGER, agree that the Complaint in the above-captioned matter is hereby dismissed with prejudice, pursuant to the Settlement Agreement and Factual Stipulation, attached hereto.

Each party shall bear its own costs and attorneys' fees.

Respectfully Submitted,

FOR THE DEFENDANT

SAMUEL R. BERGER
Defendant

FOR THE UNITED STATES

Barbara Van Gelder
(D.C. Bar No. 265603)
Assistant United States Attorney
United States Attorney's Office
555 4th Street, N.W.
Washington, D.C. 20001
(202) 514-7238

Allen R. Snyder
(D.C. Bar No. 162818)
Douglas A. Fellman
(D.C. Bar No. 412746)
Hogan & Hartson, L.L.P.
555 13th Street, N.W.
Washington, DC 20004
(202) 637-5741

Susan J. Park
(D.C. Bar No. 384818)
Bea L. Witzleben
Trial Attorneys
Public Integrity Section
Criminal Division
United States Department of Justice
P.O. Box 27518 McPherson Station
Washington, D.C. 20038
(202) 514-1412

SETTLEMENT AGREEMENT

This Settlement Agreement (Agreement) is made and entered into this 10th day of November, 1997, by and between the United States Department of Justice (United States) and SAMUEL R. BERGER.

PREAMBLE

WHEREAS, both parties agree that the factual predicate to this settlement is set forth in the Factual Stipulation, which is attached hereto and incorporated by this reference into this Agreement; and

WHEREAS, the United States maintains that SAMUEL R. BERGER's conduct, as set forth in the Factual Stipulation, violates 18 U.S.C. § 208; and

WHEREAS, SAMUEL R. BERGER denies the United States' assertion of liability; and

WHEREAS, both parties mutually desire to reach full and final compromise of any and all actual and potential claims based on SAMUEL R. BERGER's actions as set forth in the Factual Stipulation and all facts known as a result of the Government's investigation relating to these matters, and further wish to avoid the expense, delay and uncertainty of protracted litigation of the claims asserted by the United States.

ACCORDINGLY, in reliance upon the representations contained herein and in consideration of the mutual promises, covenants, and obligations in this Agreement, as a resolution of all pending claims and differences, for good and valuable consideration, the

sufficiency of which is hereby acknowledged, the parties agree as follows:

TERMS AND CONDITIONS

1. SAMUEL R. BERGER agrees to make a lump sum payment of $23,043.00 made payable to the United States Treasurer, within ten days of the date of the filing of this Agreement with the United States District Court for the District of Columbia. The payment is to be made by certified check or money order by SAMUEL R. BERGER to the United States Attorney's Office for the District of Columbia.

2. The United States hereby releases and discharges all claims, demands, charges, complaints, and causes of action, of any nature whatsoever, against SAMUEL R. BERGER or his heirs and assignees based on the facts as set forth in the Factual Stipulation and all facts known as a result of the Government's investigation of these matters, and the United States further promises to refrain from instituting or maintaining any claim, demand, charge, complaint, and cause of action, of any nature whatsoever, against SAMUEL R. BERGER based on same.

3. The parties further agree that this Agreement and Factual Stipulation is the entire agreement with respect to any and all promises of the United States and alleged liability of SAMUEL R. BERGER based on the facts as set forth in the Factual Stipulation and all facts known as a result of the Government's investigation of these matters.

4. The parties agree that this Agreement may not be altered, amended, modified or otherwise changed except in writing duly executed by SAMUEL R. BERGER and the United States.

5. If the proposed settlement is not effected, the pleadings and Factual Stipulation shall not be binding upon either party.

6. This Agreement shall become effective upon signing.

FOR THE DEFENDANT.

SAMUEL R. BERGER
Defendant

Allen R. Snyder
(D.C. Bar No. 162818)
Douglas A. Fellman
(D.C. Bar No. 412746)
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FOR THE UNITED STATES

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FACTUAL STIPULATION

Samuel R. Berger has been employed by the White House since January 20, 1993. At all times pertinent hereto, Mr. Berger held the position of Deputy Assistant to the President for National Security Affairs. He currently serves as Assistant to the President for National Security Affairs.

On or about January 24, 1994, Mr. Berger received a memorandum from the National Security Council's (NSC) Legal Adviser's Office regarding potential conflicts of interest under 18 U.S.C. § 208. That memorandum advised Mr. Berger that the White House Counsel had determined that he should divest his family's petroleum and other energy producing financial interests. In particular, the memorandum advised Mr. Berger that the divestiture of his family's holdings in Amoco Corporation was necessary to avoid any actual or apparent conflict of interest in the performance of his official duties. The memorandum enclosed a document for Mr. Berger to execute which sought the issuance of a Certificate of Divestiture, which would enable the Bergers to defer the tax consequences of their sale of the assets.

In early February of 1994, Mr. Berger sent a handwritten note to the Legal Adviser's Office asking questions about the advice contained in the memorandum. On or about March 16, 1994, Mr. Berger received a memorandum responding to those questions and informing Mr. Berger that the White House Counsel's Office had determined that the proposed divestiture was necessary.

The Amoco stock in question was held in trusts maintained for the benefit of Mr. Berger's wife and minor children. The portfolio maintained by these trusts, along with the investments held directly by Mr. or Mrs. Berger, were managed by trustees and other financial advisors who made discretionary investment decisions regarding the accounts. Neither Mr. nor Mrs. Berger was actively engaged in the management of these assets, and they were not fully aware of all of the specific investments held in these trusts.

Following receipt of the March 1994 memorandum, Mr. Berger had a brief discussion with the NSC Legal Adviser, whereupon Mr. Berger indicated that he would promptly divest the stocks in question. Mr. Berger thereafter took no steps to sell the Amoco stock. There is no evidence that Mr. Berger focused on his family's ownership interests in Amoco Corporation at any time he participated in official matters, and Mr. Berger has informed the Department of Justice that at the time of his communication with the NSC Legal Adviser, Mr. Berger fully intended to sell the stock, but he neglected to follow up promptly and, over time, totally forgot about the need to make the divestiture or his family's ownership of the stock in question.

There is no evidence that Mr. Berger ever took any action to conceal or misrepresent his wife's or children's continued ownership of Amoco. On May 15, 1994, and May 15, 1995, Mr. Berger signed financial disclosure forms intended for public filing -- which had been drafted in full by his financial advisor -- that accurately set forth the family's continued ownership of the Amoco stock.

Upon reviewing Mr. Berger's 1995 financial disclosure form, personnel in the White House Counsel's Office noted Mr. Berger's family members' continuing beneficial ownership of Amoco stock, and on or about June 15, 1995, Mr. Berger was reminded that he had failed to sell the Amoco stock that he had been advised to divest in 1994. There is no evidence that Mr. Berger had received any reminder to sell his Amoco stock from the NSC Legal Adviser's Office or the White House Counsel's Office between March of 1994 and June of 1995. Upon being reminded, Mr. Berger initiated a sale of the Amoco stock immediately. The sale was executed in part on Friday, June 16, 1995, with the remaining shares sold on Monday, June 19, 1995.

During the period from March 16, 1994 until June 19, 1995, there were particular matters that came before Mr. Berger in his official capacity as Deputy Assistant to the President for National Security Affairs that may have had a direct and predictable effect on Amoco Corporation. On occasion, Mr. Berger personally and substantially participated in such matters. There is no evidence that at the time Mr. Berger participated in any such particular matter he considered any effect or impact which that matter might have had upon his or his family's financial interest, or focused at that time on the fact that his family had a financial interest in Amoco Corporation.

From March 16, 1994 to June 19, 1995, the value of the Amoco stock beneficially owned by Mr. Berger's wife and children increased by approximately $19,338, excluding dividends. The dividends paid during this period on the Berger family Amoco stock totaled $3,705, for a total return of $23,043.

FD-350 (Rev. 5-8-81)

(Indicate page, name of newspaper, city and state.) A-8

THE WASHINGTON POST

Date: 11/11/97 - TUESDAY
Edition:

Title: Berger to Pay $23,000 for Holding STOCK

Character: CLINTON Aide was told To SELL OIL SHARES
or
Classification:
Submitting Office: 58A-WF-200802 SquadC-3

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b7C

Indexing:

Berger to Pay $23,000 for Holding Stock

Clinton Aide Was Told To Sell Oil Shares

Los Angeles Times

Samuel R. "Sandy" Berger, President Clinton's national security adviser, agreed yesterday to pay $23,043 for failing to sell Amoco Corp. stock for 15 months after government attorneys advised him to do so.

In papers settling a civil conflict-of-interest suit brought against him by the Justice Department, Berger said he forgot about the instructions to sell the 1,300 Amoco shares, held in four trusts for his wife and three children, and thus did not knowingly take part in decisions in which he had a financial interest.

As part of the settlement, Berger acknowledged matters that may have affected Amoco came before him during the 15-month period—from March 16, 1994, until June 19, 1995—when he was deputy national security adviser.

But there is no evidence that Berger considered any effect his actions would have had on his family's financial interest.

Justice Department attorneys said that lacking evidence of Berger's intent to violate the conflict-of-interest law, they would not bring criminal charges against him.

"I should have sold the stock in 1994 when I was first told to do so," Berger said in a statement. "I forgot to do this until I was reminded in June 1995. This was a mistake." He said he was paying all the earnings from the stock "to avoid even the appearance of having profited in any way from this oversight."

The settlement payment, to be made in 10 days to the U.S. treasurer, represents the $19,338 increase in the value of the Amoco shares over the 15 months that Berger failed to sell them and $3,705 in dividends paid on the stock.

The resolution of the Berger case was similar to that of two other recent cases, including a belated stock sale by Berger's predecessor and former boss, Anthony Lake.

Lake agreed in February to pay a $5,000 civil settlement for failing to sell four energy stocks for more than two years after being advised to divest by the White House counsel's office in 1993.

Last month, Postmaster General Marvin Runyon paid a $27,550 civil settlement of allegations he discussed putting Coca-Cola machines in the nation's 40,000 post offices while owning stock in the company. The deal was never completed.

"The president was satisfied long ago with how this issue was resolved and he has complete confidence in Sandy," White House spokesman Barry Toiv said.

58A-WF-200802-183

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FBI — WASH. METRO FIELD OFFICE

FD-340 (Rev. 5-8-81)

(Indicate page, name of newspaper, city and state.)
A-9
THE WASHINGTON TIMES

Date: 11/11/97 - TUESDAY
Edition:

Title: BERGER to Pay civil PENALTIES for FAILURE to SELL OIL STOCKS

Character: —
or
Classification: 58A-WF-200802
Submitting Office: Sfund C-20

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Indexing:

The Washington Times

Berger to pay civil penalties for failure to sell oil stocks

By Warren P. Strobel
THE WASHINGTON TIMES

President Clinton's national security adviser agreed yesterday to pay more than $23,000 in civil penalties for failing to immediately sell his oil stocks as ordered by White House lawyers.

The agreement between the Justice Department and National Security Adviser Samuel R. "Sandy" Berger apparently ends a probe into his handling of the Amoco Corp. stock and whether it presented a conflict of interest.

Mr. Berger was told by the White House Counsel's office in early 1994 to sell the 1,500 shares of stock. But he has acknowledged neglecting to do so until June 1995, after he listed the stock on an annual financial disclosure form and was again told to divest himself of it.

He has chalked up the incident to simply forgetting about the stock.

"This was a mistake," Mr. Berger said in a statement yesterday. "As a result, and in order to avoid even the appearance of having profited in any way from this oversight, I will pay the United States government all earnings from the stock during the relevant period."

The $23,043 represents the increase in the shares' value and the dividends it earned after the lawyers' order.

Mr. Berger, who at the time was deputy national security adviser, was responsible for policy decisions that could have affected the stocks' value.

However, the Justice Department found that no criminal intent was involved.

Investigators determined that neither he nor his wife was actively involved in managing the stock, which was in a trust for his wife and children overseen by a financial adviser.

They also found that Mr. Berger made no effort to conceal his ownership of the stock.

Joe Lockhart, White House deputy press secretary, said, "The president is more than satisfied that this issue has been taken care of."

Mr. Berger, who is widely liked and respected in the White House, has been on a short list of possible candidates to succeed Chief of Staff Erskine Bowles, who is expected to depart at year's end. Some officials privately wondered yesterday whether his chances to get the job have now diminished.

The agreement closing the matter was described in papers filed in U.S. District Court yesterday.

When the investigation first became public last December, sources close to Mr. Berger said that he had initially questioned White House lawyers' January 1994 finding that he must sell the stock, responding with a note that said, "Why?"

The sources said he questioned whether holding the stock would present a potential conflict of interest and mistakenly believed a sale would mean a large capital-gains tax.

Mr. Berger continued to list the stock on a financial disclosure form, which was filed in May 1995. The next month, the counsel's office reminded him that he was obligated to sell the stock, which he immediately did.

The amount Mr. Berger agreed to pay far exceeds the $5,000 penalty levied against his predecessor, Anthony Lake, who also neglected to sell energy stock for two years after being ordered to do so.

• *This article is based in part on wire service reports.*

58A-WF-200802 - 183

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SERIALIZED [ ] FILED [ ]

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FBI — WASH. METRO FIELD OFFICE
[ ]

FD-515 (Rev. 10-1-96)

Squad supervisor approval (please initial)

Accomplishment Report

(Accomplishment must be reported and loaded into IT within 30 days from date of accomplishment)

Date Prepared 2/9/98
Date Loaded 2/11/98
Data Loader's Initials

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☒
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

File Number
58A-WF-200802

RA	Squad
NVRA	C-20

Task Force

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CA			
		Elsur / FISC			Polygraph			Crim Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Sp			Show Money			Crisis Neg. - Loca			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchas			Tech. Ag/Equi			Sav - ITC			
		Inf/CW Info			Phone Toll Re			Poc - WRCSC			

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A. Complaint / Information / Indictment
☒ Federal ☐ Local ☐ International
Complaint Date 11/10/97
Check if Civil Rico Complaint ☐
Information Date _____
Indictment Date _____

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date _____
Arrest Date _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons
☐ Federal ☐ Local
Summons Date _____

D. Hostage(s) Released Date _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date _____

E. Recovery / Restitution / PELP ×
☐ Federal ☐ Local ☐ International
Recovery Date _____

Code •	Amount
	$
	$

Restitution Date _____
☐ Court Ordered
☐ Pretrial Diversion

Code •	Amount
	$

PELP Date _____

Code •	Amount
	$

F. Civil Rico Matters Date _____
Also Complete Section I
or
✓ **Other Civil Matters Date** 11/10/97
Judgment CJ •
Judicial Outcome FI × •
Amount: $ 23,043.00
Suspension:

Years	Months

G. Administrative Sanctions Date _____
Subject Description Code ____ •
Type: Length:
☐ Suspension ☐ Permanent
☐ Debarment ☐

Years	Months

☐ Injunction

H. Conviction
☐ Federal ☐ Local ☐ International
Conviction Date: _____
Subject Description Code: ____ • (_____) •
For 6F, G, H--Include Agency Code
☐ Felony Or ☐ Misdemeanor
☐ Plea Or ☐ Trial
State: _____ Judicial District: _____

I. U.S. Code Violations
Required for Sections A, B, F, and H
(Federal only)

Title	Section	# of Counts
18	208	1

J. Sentence Date: _____
Sentence type: __ __, __ __, __ __ •

In-Jail Years	In-Jail Months	Suspended Years	Suspended Months	Probation Years	Probation Months

Fines: $ _____

K. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date _____
Dismissal Date _____
Pretrial Diversion Date _____

L. Subject Information (Required for all Sections excluding Section D and E (Recovery/PELP))

Name	Race •	Sex	Date of Birth	Social Security No. (if available)
Samuel Berger	W	M		

For Indictments/Convictions only:
☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC) Group-Complete FD-515a, Side 1
☐ Subject related to an OC/Drug Organization or a VCMO Program relating to street gangs involved in drugs-Complete FD-515a, Side 2

× Additional information may be added by attaching another form or a plain sheet of paper for additional entries.
• See codes on reverse side.

Serial No. of FD-515: 185

58A-WF-200802

For Further Instructions See: MAO [illegible]rt ections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
02 Stocks, Bonds or Negot. Instruments
03 General Retail Merchandise
04 Vehicles
05 Heavy Machinery & Equipment
06 Aircraft
07 Jewelry
08 Vessels
09 Art, Antiques or Rare Collections
11 Real Property
20 All Other

SENTENCE TYPES

CP Capital Punishment
JS Jail Sentence
LS Life Sentence
NS No Sentence (Subject is a Fugitive, Insane, has Died, or is a Corporation)
PB Probation
SJ Suspension of Jail Sentence
YC Youth Correction Act

PELP CODES

22 Counterfeit Stocks/Bonds/Currency/ Negotiable Instruments
23 Counterfeit/Pirated Sound Recordings or Motion Pictures
24 Bank Theft Scheme Aborted
25 Ransom, Extortion or Bribe Demand Aborted
26 Theft From or Fraud Against Government Scheme Aborted
27 Commercial or Industrial Theft Scheme Aborted
30 All Other

RACE CODES

A Asian/Pacific Islander
B Black
I Indian/American
U Unknown
W White
X Nonindividual

JOINT AGENCY CODES

ACIS Army Criminal Investigative Service
BATF Bureau of Alcohol, Tobacco & Firearms
BIA Bureau of Indian Affairs
DCAA Defense Contract Audit Agency
DCIS Defense Criminal Investigative Service
DEA Drug Enforcement Administration
DOC Department of Corrections
DOI Dept. of Interior
EPA Environmental Protection Agency
FAA Federal Aviation Administration
FDA Food and Drug Administration
HHS Dept. of Health & Human Services
HUD Dept. of Housing & Urban Development
INS Immigration and Naturalization Service
IRS Internal Revenue Service
NASA Nat'l Aeronautics & Space Admin
NBIS Nat'l NARC Border Interdiction
NCIS Naval Criminal Investigative Service
RCMP Royal Canadian Mounted Police
SBA Small Business Administration
USBP U.S. Border Patrol
USCS U.S. Customs Service
USDS U.S. Department of State
USPS U.S. Postal Service
USSS U.S. Secret Service
USTR U.S. Treasury
LOC Local
CITY City
COUN County
ST State
OTHR Other

JUDGMENT CODES

CJ Consent Judgment
CO Court Ordered Settlement
DF Default Judgment
DI Dismissal
JN Judgment Notwithstanding
MV Mixed Verdict
SJ Summary Judgment
VD Verdict for Defendant
VP Verdict for Plaintiff

JUDICIAL OUTCOME

AG Agreement
BR Barred/Removed
CC Civil Contempt
DC Disciplinary Charges
FI Fine
PI Preliminary Injunction
PR Temporary Restraining Order
PS Pre-filing Settlement
RN Restitution
SP Suspension
VR Voluntary Resignation
OT Other

SUBJECT PRIORITY

A Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years

B Subject wanted for crimes involving loss or destruction of property valued in excess of $25,000 or convicted of such a crime in the past five years.

C All other subjects.

SUBJECT DESCRIPTION CODES

ORGANIZED CRIME SUBJECTS

1F Boss
1G Underboss
1H Consigliere
1J Acting Boss
1K Capodecina
1L Soldier

KNOWN CRIMINALS

2A Top Ten or I.O. Fugitive
2B Top Thief
2C Top Con Man

FOREIGN NATIONALS

3A Legal Alien
3B Illegal Alien
3C Foreign Official W/out Diplomatic Immunity
3D U.N. Employee W/out Diplomatic Immunity
3E Foreign Student
3F All Others

OTHERS

8A All Other Subjects
8B Company or Corporation

TERRORISTS

4A Known Member of a Terrorist Organization
4B Possible Terrorist Member or Sympathizer

UNION MEMBERS

5D President
5E Vice-President
5F Treasurer
5G Secretary/Treasurer
5H Executive Board Member
5I Business Agent
5J Representative
5K Organizer
5L Business Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

GOVERMENT SUBJECTS

6A Presidential Appointee
6B U.S. Senator/Staff
6C U.S. Representative/Staff
6D Federal Judge/Magistrate
6E Federal Prosecutor
6F Federal Law Enforcement Officer
6G Federal Employee - GS 13 & Above
6H Federal Employee - GS 12 & Below
6J Governor
6K Lt. Governor
6L State Legislator
6M State Judge/Magistrate
6N State Prosecutor
6P State Law Enforcement Officer
6Q State - All Others
6R Mayor
6S Local Legislator
6T Local Judge/Magistrate
6U Local Prosecutor
6V Local Law Enforcement Officer
6W Local - All Others
6X County Commissioner
6Y City Councilman

BANK EMPLOYEES

7A Bank Officer
7B Bank Employee

Case Number: 58A-WF-200802
Serial No.: 185

Stat Agent Name:
Stat Agent SOC.:

Report Date: 02/11/1998
Accom Date.: 11/10/1997

Does Accomplishment Involve		Assisting Agents SOC	Subject Name
Drugs	N		BERGER, SAMUEL
A Fugitive	N		
Bankruptcy Fraud	N		
Computer Fraud/Abuse	N		
Corruption of Public Officials	Y		
Forfeiture Assets	N		

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b7C
b7E

RA	Squad	Task Force
NVRA	C20	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

FINAN ANALYST	LAB DIV EXAMS	UCO-GROUP I	FT. MON-NRCSC
AIRCRAFT ASST	LAB FIELD SUP	UCO-GROUP II	FOR. LANG ASST
COMPUTER ASST	PEN REGISTERS	UCO-OTHER	NON FBI LAB EX
CONSEN MONITR	PHOTO COVERGE	NCAVC/VI-CAP	VICT-WITN COOR
ELSUR/FISC	POLYGRAPH	CRIM INTEL AST	
ELSUR/III	SRCH WAR EXEC	CRIS NEG-FED	
ENG FIELD SUP	SHOW MONEY	CRIS NEG-LOC	
ENG TAPE EXAM	SOG ASST	ERT ASST	
LEGATS ASST.	SWAT TEAM	BUTTE-ITC	
EVIDNCE PURCH	TECH AG/EQUIP	SAVANNAH-ITC	
INFORMANT/CW	TEL TOLL RECS	POC-WRCSC	

Information is for Federal, Local, or International (F/L/I)....: F
Serial Number of Information.....:

United States Code Violation

Title	Section	Counts
18	208	1

Accomplishment Narrative

Case Number: 58A-WF-200802
Serial No.: 185

Stat Agent Name:
Stat Agent SOC.:

Report Date: 02/11/1998
Accom Date.: 11/10/1997

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b7C
b7E

Does Accomplishment Involve		Assisting Agents SOC	Subject Name
Drugs	N		BERGER, SAMUEL
A Fugitive	N		
Bankruptcy Fraud	N		
Computer Fraud/Abuse	N		
Corruption of Public Officials	Y		
Forfeiture Assets	N		

RA	Squad	Task Force
NVRA	C20	

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COMPUTER ASST	PEN REGISTERS	UCO-OTHER	NON FBI LAB EX
CONSEN MONITR	PHOTO COVERGE	NCAVC/VI-CAP	VICT-WITN COOR
ELSUR/FISC	POLYGRAPH	CRIM INTEL AST	
ELSUR/III	SRCH WAR EXEC	CRIS NEG-FED	
ENG FIELD SUP	SHOW MONEY	CRIS NEG-LOC	
ENG TAPE EXAM	SOG ASST	ERT ASST	
LEGATS ASST.	SWAT TEAM	BUTTE-ITC	
EVIDNCE PURCH	TECH AG/EQUIP	SAVANNAH-ITC	
INFORMANT/CW	TEL TOLL RECS	POC-WRCSC	

Judgment . . . . . .: CJ
Judicial Outcome . . .: FI
Fine. . . . . .:$ 23043

	Years	Months
Suspension. . . . .:		

Accomplishment Narrative

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 06/10/1998

To: WFO

From: WFO
C-20 NVRA
Contact: SA [redacted] 703-762-3202

Approved By: [redacted]

Drafted By: [redacted]

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b7C

Case ID #: 58A-WF-200802

Title: [redacted]
Samuel Richard Berger,
aka "Sandy" Berger,
Deputy Assistant to the President
for National Security Affairs;
CFO-COI
OO:WFO

Synopsis: To report results of a meeting with Trial Attorney Bea Witzleben, Public Integrity Section (PIS) Department of Justice (DOJ) at PIS offices in Washington, D.C. on June 9, 1998.

Details: On June 9, 1998, writer met with Trial Attorney Witzleben regarding another matter. During the course of this meeting, Witzleben advised she had documents relevant to this matter in her possession that she thought should be returned to the custody of the Federal Bureau of Investigation. Witzleben requested that these documents be returned to NVRA. Accordingly, writer is forwarding one box of documents concerning [redacted] and BERGER to the 1A file in this matter.

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For information.

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